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## Faculty Senate Executive Committee Agenda, February 16, 2021

Utah State University

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## **FACULTY SENATE EXECUTIVE COMMITTEE**

February 16, 2021

3:30 – 4:30 p.m.

[Zoom Meeting](#)

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### **Agenda**

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- 3:30 Call to Order** ..... Timothy Taylor  
[Approval of Minutes](#) – January 19, 2021
- 3:35 University Business** ..... Noelle Cockett, President | Frank Galey, Provost
- 3:50 Information**  
[EPC Monthly Report](#) – February 4, 2021 ..... Nicholas Morrison  
[HR Policy 311: Setting Expectations and Managing Performance](#)..... Doug Bullock  
[HR Policy 321: Respectful Workplace](#) ..... Doug Bullock
- 4:05 Reports**  
[Parking Committee](#) Annual Report ..... James Nye  
[Sustainability Council](#) Annual Report..... Alexa Lamm
- 4:15 Old Business**  
Faculty Promotion and Tenure Survey ..... Boyd Edwards | John Stevens | Rebecca Walton
- 4:20 New Business**  
Faculty Concerns Regarding New Faculty Startup Funding Rules ..... Patrick Belmont

**Adjourn: 4:30 pm**



## **FACULTY SENATE EXECUTIVE COMMITTEE MINUTES**

January 19, 2021

3:30 – 5:00 p.m.

Zoom Meeting

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**Present:** Timothy Taylor (President), Patrick Belmont (Past-President), Boyd Edwards (President-Elect), President Noelle Cockett (Ex-Officio), Provost Frank Galey (Ex-Officio), Michele Hillard (Exec. Sec.), Benjamin George, Maureen Hearn, John Ferguson, Yoon Lee, Soren Brothers, Vicki Allan, Denise Stewardson, Robert Wagner, Jan Thornton, Don Busenbark, Nikki Kendrick (PRPC Chair)

**Absent:** Nicholas Roberts  
Jessica Lucero  
Britt Fagerheim  
Sami Ahmed, USUSA President

**Guests:** Paul Barr, EPC Chair  
Lisa Berreau, Vice President, Office of Research  
Richard Cutler, Interim Vice Provost, School of Graduate Studies  
Dave Cowley, Vice President, Business and Finance

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**Call to Order** - Timothy Taylor

[Approval of Minutes](#) – December 14, 2020

*Motion to approve minutes made by Don Busenbark. Seconded by Vicki Allan. Minutes approved as distributed.*

**University Business** - Noelle Cockett, President | Frank Galey, Provost

The independent report that came about from the Zoom meeting with football players and the President was released on Friday and it explained what had transpired during the meeting. The president is pleased that we are able to move on as well as the unanimous vote of confidence she received from the USU Board of Trustees and Utah Board of Regents. Students are back in school and that means that USU is offering the return to school COVID tests. These tests are now available at the Eccles Conference Center. All appointments today were scheduled and that means that there were approximately 500 tests taken. The biggest question is how to motivate students to get the testing done. USU is hoping that our numbers are not as high as the state positivity rates. Return to campus testing will continue through next Wednesday or possibly longer depending upon the outcome. Random sampling will begin in a couple of weeks. USU needs to be able to test enough students to see if we have a 1% change in positivity rates. That could be 1,000-2,000 students each week. The drive through testing is still open at the east stadium location. Appointments must be scheduled at this location. The president is urging anyone who feels like they have flu like symptoms to get tested. Still continuing to look at getting faculty vaccinated. Nothing is in place right now but will continue to provide information as it becomes available.

A committee is in place to help with the process of vaccination once Bear River Health notifies USU of allotments. Last week, the provost held workshops with faculty of all academic colleges. These workshops were cohosted with John Louviere. John rolled out some new support measures that can be offered to faculty members. One is a cell phone app that can serve as speakers so that students can be heard when they ask questions or make comments during class. The provost offered hourly help for faculty with hybrid courses. He also asked them to think about what they have learned from their teaching that they will continue once the pandemic is over. Kicked off the Aspire iChange network. This is a cohort of universities that look at underrepresented groups and providing inclusivity

in our pedagogy. Faculty members from across campus are serving on the committee. iChange co-leaders are Claudia Radel, Abby Benninghoff and Michelle Baker. Presented a 15-20-minute information report for the deans and will add this to the next FSEC meeting.

## **Information**

[EPC Monthly Report](#) – January 7, 2021 - Paul Barr

General Education Subcommittee approved six designations. There were also two designations that were removed. USHE asked that higher level classes not have gen ed designations and that is why the two 3XXX course designations were removed. Discussed the General Education Task force and the discussions that are on-going at the USHE level. The CI/CL sequence was discussed with the goal of rubrics be presented for adoption to the committee.

Academic Standards Subcommittee proposed amendment to the Student Code for Excused Absences was presented and accepted. The proposal cleared up definitions of “Allowable Reasons” and “Injury, Illness, Medical Condition/Status”.

Curriculum Subcommittee approved 54 semester course approval requests. Approved four R401 program proposals. Fran Hopkin and Adam Gleed presented a proposal regarding Institutional Certificates of Proficiency. Topics such as program declaration, degree work, tracking, graduation application, transcript designation and diploma awarded was discussed. The committee was asked to solicit feedback from their colleges and this item will be discussed at the next meeting.

*Motion to move the EPC Monthly Report to the Faculty Senate Agenda made by Don Busenbark.*

*Seconded by Benjamin George. Moved to agenda.*

PRPC Subcommittee 400 Code Rewrite - Nikki Kendrick

400 code re-write is finally beginning. Over the years as the code has been updated there has been conflicting or confusing information included. No specific document right now but essentially this will be a clean up process, not necessarily changes in the code. Looking at a primary writer who can help get this task accomplished. A new member of the General Counsel office will also be a member of the committee. Anything substantive will be pulled out and changed at another time.

*Motion to move the PRPC Subcommittee 400 Code Re-write to the Faculty Senate Agenda made by Don Busenbark. Seconded by John Ferguson. Moved to agenda.*

## **Reports**

[Office of Research](#) Annual Report - Lisa Berreau

FY20 highlights: On-campus research awards reached a new high, USU hosted the 14<sup>th</sup> Utah Conference on undergraduate research, researchers worked to address global pandemic and responded to COVID-19 impacts on research. There were multiple areas of outreach: the Utah Conference on Undergraduate Research, Sunrise Sessions, Research Landscapes and Research week. Commend the faculty on keeping research going during this pandemic. Typically, there is a metrics page that compares USU with other peer institutions. The peer institution information has not been uploaded or released so we are unable to make that comparison.

*Motion to move the Office of Research Annual Report to the Faculty Senate Agenda made by Benjamin George. Seconded by Denise Stewardson. Moved to agenda.*

[School of Graduate Studies](#) Annual Report - Richard Cutler

There were a number of changes and challenges. Had to change procedure due to COVID-19. There was a nearly complete turnover in staff and leadership along with communication problems with graduate students, faculty and mentors. Made additional tuition waivers available to departments in which students' research was affected by COVID-19. Permitted the use of unofficial transcripts on applications and allowed departments to determine what programs would require the GRE and other standardized tests. Goals moving forward are: continued responses to COVID-19, mental health, CAPS, additional tuition waivers for those whose research has been affected, and continued surveys to assess the wellbeing of graduate students. Establishment of a Graduate Students of Color Association.

Improve communication with graduate students with direct emails, town hall meetings, surveys and workshops and related forms of support. Working with departments to help recruit graduate students.  
*Motion to move the School of Graduate Studies Annual Report to the Faculty Senate Agenda made by Don Busenbark. Seconded by John Ferguson. Moved to agenda.*

[USUSA](#) Annual Report - Sami Ahmed

*No report given. Will hold for next month's meeting.*

### **Old Business**

[404.3.6](#) Code Changes (second reading) - Nikki Kendrick

A lot of questions regarding the process of when students would be informed and provide feedback regarding the hiring of faculty.

*Motion to move the 404.3.6 code changes to the Faculty Senate Agenda made by Boyd Edwards.*

*Seconded by Yoon Lee. Moved to agenda.*

### **New Business**

Limitations on retirement accounts – Dave Cowley

When the university proposes changing a 300-level policy it goes to the Executive Committee for review and once it is vetted and approved it comes to the Faculty Senate Executive Committee and the Staff Employee Association for presentation and input and then back to the Executive Committee. Proposing to do what many universities have done when salaries become high enough that it creates issues for putting tax deferred dollars away. Proposal needs to cover new employees hired after February 1 and also how to grandfather others. The defined contribution plan is the one under discussion and this has nothing to do with the state plan. The 401A plan essentially works similar to a 401K. The 401A limits employees with a certain amount of income that can be used and that is the maximum amount. Due to high salary individuals there is a second 403B plan that can help with these individuals. This has not been a problem for USU until recently. Head coaches are some of the individuals who fall into this category. The U of U has doctors that also fall into this category. This is not something that USU has had to look at until now. The change will affect an extraordinarily small number of employees.

Proposing that any new employee after 02/01 receiving 14.2% contribution will only be made on the amount of salary that is allowed for a 401A plan which is \$290,000. That number does go up a little each year but is the IRS threshold. (Request table from Dave). Grandfathered employees limit is at a fixed amount of \$550,000.

Promotion and Tenure Survey – Boyd Edwards

Received over 400 responses for the promotion and tenure survey. Send out a reminder the beginning of next week to remind faculty to complete the survey.

**Adjourn: 4:41 pm**

## **Report from the Educational Policies Committee February 4, 2021**

The Educational Policies Committee (EPC) met on February 4, 2021. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page ([www.usu.edu/epc](http://www.usu.edu/epc)).

During the February 4, 2021 meeting of the EPC, the following actions were taken:

### **1. General Education Subcommittee**

- Two General Education designation was approved
  - LANG 3570 – DHA
  - SOC 4010 – DSS
- Discussed the artifacts and assessment data that will be collected as part of the Gen Ed rubrics for the Fall semester. There was discussion regarding the impact of moving the 3000 level courses to the junior year.

### **2. Academic Standards Subcommittee**

- No meeting to report.

### **3. Curriculum Subcommittee**

- Approval of 209 course requests.
- Request from the Department of Animal, Dairy and Veterinary Sciences in the College of Agriculture and Applied Sciences to **change the name of the minor from Equine Assisted Activities and Therapies to Equine-Human Science.**
- Request from the Department of Aviation and Technical Education in the College of Agriculture and Applied Sciences to **update the Certificate of Completion in the Plan of Study for Automotive Technology.**
- Request from the Department of Aviation and Technical Education in the College of Agriculture and Applied Sciences to **offer a Certificate of Completion Unmanned Aerial Systems (UAS).**
- Request from the Department of Aviation and Technical Education in the College of Agriculture and Applied Sciences to **update the Medical Assistant Certificate of Completion.**
- Request from the Department of Landscape Architecture and Environmental Planning in the College of Agriculture and Applied Sciences to **offer an accelerated Bachelor of Landscape Architecture and a Master of Science in Environmental Planning.**
- Request from the Department of Nutrition, Dietetics and Food Sciences in the College of Agriculture and Applied Sciences to **offer a new Post Baccalaureate Certificate, Practitioner of Food Safety.**
- Request from the Departments of Communicative Disorders and Deaf Education, Human Development and Family Studies, Instructional Technology and Learning Sciences, Kinesiology and Health Science, Psychology, School of Teacher Education and Leadership and Special Education and Rehabilitation Counseling in the Emma Eccles Jones College of Education and Human Services to **offer a**

**Post-Baccalaureate (Graduate) Certificate Program: Certificate in Advanced Research Methods and Analysis – Quantitative (CARMA-Q).**

- Request from the Department of Special Education and Rehabilitation Counseling in the Emma Eccles Jones College of Education and Human Services to **change the name of the Rehabilitation Counseling specialization within the Disability Disciplines doctoral program to Rehabilitation Counselor Education and Supervision.**
- Request from the Department of Data Analytics and Information Systems in the Jon M. Huntsman School of Business to **offer a Baccalaureate degree in Data Analytics.**
- Request from the Department of Economics and Finance in the Jon M. Huntsman School of Business to **offer a new Business Economics emphasis within the BA/BS degree in Economics.**
- Request from the Department of Economics and Finance in the Jon M. Huntsman School of Business to **create a new Econometrics and Data Analytics emphasis within the existing BA/BS Economics degree.**
- Request from the Department of Economics and Finance in the Jon M. Huntsman School of Business to **create a new Financial Economics Emphasis within the existing BA/BS Economics degree.**
- Request from the Department of Economics and Finance in the Jon M. Huntsman School of Business to **offer a Master of Financial Economics degree.**
- Request from the Department of Watershed Sciences in the S.J. & Jessie E. Quinney College of Natural Resources to **offer a Master of Ecological Restoration.**

4. **Other Business**

- Missing Course Descriptions (missing descriptions/examples) – Toni Gibbons  
Registrar's Office has identified courses that do not have course descriptions. Most of these courses are graduate programs. Curriculum Committee asked for a boilerplate description for the courses. These will be reviewed and an electronic vote will be taken.
- Institutional Certificates – Paul Barr
- Fran Hopkin and Adam Gleed brought forth recommendations to establish policies to handle Institutional Certificates of Proficiencies. The committee discussed the various issues and made recommendations to be brought to the Provost for approval.

## ITEM FOR ACTION

Re: **Amendments to USU Policy 311: Setting Expectations and Managing Performance** (formerly Corrective Action)

### Key

- Red – Deletions
- Blue – Additions
- Black – Original to Policy
- Green – Movements of original text placement

### SUMMARY OF CHANGES

- **Retitled Policy from Corrective Action to Setting Expectations and Managing Performance-**
  - Last updated in 2010. Restructured both the paragraphs and the layout to help employees and supervisors. No significant change from current practices.
  - Updated policy strives to help supervisors and employees by clarifying expectations up front and working through progressive correction and/or discipline as needed.
  - Increased focus on collaboration in expectation setting and addressing performance deficiencies.
  - Clarified supervisory responsibility for setting clear expectations; and employee responsibility to seek clarification from their supervisor when they feel uncertain of their expectations.
- **Added Reference to Updated Policy 321: Respectful Workplace-**
  - Sets policy regarding meeting expectations and behaving respectfully toward one another.
- **Clarified Informal Supervisory Tools to Set and Manage Expectations-**

○ Guidance	○ Policy
○ Coaching	○ Rules
○ Training	○ Regulations
- **Clarified Language on Performance Improvement Measures to Use-**
  - **Letter of Expectations (LOE)-** not a formal disciplinary step
  - **Performance Improvement Plan (PIP)-** may be used alone or in conjunction with a formal disciplinary step to identify performance deficiencies and create a plan of action to correct issues. If used as a part



of a formal disciplinary step, it should also state consequences for non-adherence.

- **Clarified Progressive Disciplinary Action Language-**
  - Verbal Warning
  - Written Warning
  - Suspension Without Pay
  - Termination: Clarified decision-making process to follow (supervisor, department head/director, and HR) and steps to take after efforts to address performance issues have failed.
- **Added language around Paid Administrative Leave, What it is, and When It May Be Used**
  - Not a sanction for any alleged behavior
  - Allows for completion of an investigation and protects from any undue influence
  - Prevents additional allegations or accusations of retaliation
  - Pay and benefits are not affected
- **Clarified Language of Employee's Response to Disciplinary Action**
  - Attach written comments within 30 days
  - Consult with HR
  - File a Grievance under Policy 325



## POLICY MANUAL

### GENERAL

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#### Number 311

**Subject: Corrective Action**

**Covered Employees: Benefited Exempt and Non-exempt Staff**

**Date of Origin: January 24, 1997; revised March 26, 2010**

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#### 311.1 POLICY

Utah State University strives to provide continuous employment through effective planning and proper selection of employees.

The University's objective for corrective action is to eliminate violations, improve performance, avoid recurrence, and protect the interests of the University. Normally, employees should be given an opportunity to improve their performance through informal discussion which could include a letter of expectation before sanctions are imposed. However, some circumstances may warrant immediate sanctions, including dismissal.

Benefit-eligible, non-faculty (exempt and non-exempt) employees being formally corrected by imposition of sanctions need to be aware of their rights to use available avenues of review and redress, including discussing the issues with a representative of the Office of Human Resources and following the University grievance policy (Policy 325 Grievance Procedures) and/or equal opportunity complaint procedures (Policy 305 Affirmative Action/Equal Opportunity).

The imposition of sanctions, including dismissal of an employee for cause, may result for any of the following job-related reasons under circumstances that demonstrate the inability or unwillingness of the employee to meet his/her responsibilities to the University. It is impossible to provide an exhaustive list that identifies every type of conduct or performance problem that may result in some form of corrective action. However, to offer University employees some guidance, the following list provides examples of conduct that may result in the application of sanctions: negligence; incompetence; violation of University policies; excessive or unauthorized absence; misuse of institutional property or funds; disorderly conduct; fraud; falsification on an

employment application; unsuitability to job requirements; being under the influence of alcohol or drugs while working; insubordination; unjustified interference with the work of others; violation of applicable statutory requirements or University regulations relating to employment practices, including, but not limited to, regulations prohibiting discrimination or harassment because of race, color, religion, sex, national origin, age, disability, veteran's status, sexual orientation, or other legally impermissible behavior; conviction of a crime by a court of competent jurisdiction; and violation of other generally accepted standards of conduct, where such violation creates substantial inefficiency and/or an unacceptable work atmosphere at the institution.

When significant allegations are identified, a benefit-eligible, non-faculty employee may be put on leave with pay pending notice of and an opportunity to respond to the charges at a meeting. After an investigation has taken place and the employee has been given an opportunity to discuss the results, appropriate action will be taken by the University.

The University's philosophy of corrective action is one of constructive action, administered fairly and consistently. Normally, corrective action will be progressive; however, sanctions may be initiated at any step in the process at the University's discretion, depending on the performance problem, the type of conduct, or the nature of the offense involved.

Throughout the entire corrective action process, all parties involved should maintain confidentiality to ensure the rights of the employee and the institution.

## **311.2 DEFINITIONS**

### **2.1 Corrective Action**

Employment-related action (including imposition of sanctions) undertaken to correct or modify unacceptable job performance or behavior to acceptable standards. Corrective action measures authorized to be imposed upon employees include an oral reprimand, written warning, administrative leave with or without pay, and dismissal from employment.

### **2.2 Termination Notice**

Actual personal delivery of a written statement to an individual. If the individual cannot be personally located at the usual place of employment during assigned working hours, notice may be given by mailing the statement to the employee at his/her last known address. If notice is mailed, it is deemed effective for all purposes when deposited in an appropriate mailbox or mail slot.

## 311.3 PROCEDURES

### 3.1 Guidelines for Employees in their Introductory Period (see Policy 395 Introductory Period of Employment)

(1) Dismissal from employment may be effected prior to the end of an employee's introductory period with or without cause and without giving the employee a written statement of cause for dismissal, for any lawful reason deemed adequate by the University, including but not limited to, unsatisfactory performance, unacceptable behavior, or violations of University policy.

(2) Supervisors should maintain written documentation regarding the dismissal of employees in their introductory period. This documentation should include a statement of the problems encountered, attempts to correct them and the reason for dismissal. A copy of this documentation should be forwarded to the Office of Human Resources for inclusion in the appropriate personnel file. A reason for termination must be included in the comments section of the termination EPAF.

(3) Benefit-eligible, non-faculty employees in their introductory period do not have access to the University's formal grievance process (Policy 325 Grievance Procedures). However, these employees have the right to respond, explain, correct, or deny in writing any facts in question and send their reply to the Office of Human Resources for inclusion in their file.

(4) The progressive corrective action procedures outlined in the following section need not be followed for part-time and temporary employees, and benefit-eligible, non-faculty employees in their introductory periods of employment.

### 3.2 Corrective Action Procedures for Employees

The University believes the corrective action procedures set forth below are generally appropriate concerning employee conduct and performance. Provisions of these procedures are not, however, absolute rules. These guidelines outline general policies that supervisors should consider when counseling with employees. Normally, progressive corrective action will involve the following steps, but exceptions or deviations may occur whenever the University deems that circumstances warrant that one or more steps in the process should be skipped. Accordingly, some circumstances may warrant immediate dismissal. Before imposing sanctions, administrators should consult with the Office of Human Resources.

(1) Progressive steps.

If an employee fails to perform work in accordance with the requirements of the position and the expectations of the University, the supervisor should talk to the employee to find out the facts of the situation prior to any formal corrective action. This meeting could include the delivery of a letter of expectation which would include a copy of the

employee's job description and a discussion about unsatisfactory performance with a timeline for follow-up. Depending on the situation, there are exceptions which may occur in the progressive corrective action procedures outlined here.

(a) Oral reprimand. Initial corrective action should be in the form of an oral discussion and subsequent documentation. This meeting should be held in private and should provide an opportunity for problem solving that results in clear problem identification, correction strategies, and employee commitment to improve. This meeting should be documented with the employee's signature and date. If the employee declines to sign, it should be so noted. The document should inform the employee that this is the first step in the formal corrective action process and include consequences of failure to improve. The employee has the right to respond either verbally or in writing.

If the employee successfully corrects the identified problems and maintains satisfactory performance, a written notice will be given to the employee with a copy to his/her file.

(b) Written warning. A written warning may be issued to an employee who does not correct a performance deficiency in response to an oral reprimand.

The purpose of a written warning is to make certain that the employee is fully aware of the performance deficiency or misconduct he/she has committed, what is expected, a reasonable time frame in which to accomplish the improvement, and the consequences of the failure to meet satisfactory expectations. The employee should sign the written warning signifying that it has been received. Should the employee decline to sign, it should be so noted. The employee will receive the original warning letter and a copy should be sent to Office of Human Resources to be filed. Supervisors must consult with a representative of the Office of Human Resources before issuing a written warning.

If the employee successfully corrects the identified problems on a consistent basis, a written notice rescinding the warning will be given to the employee with a copy to his/her file and a copy to the Office of Human Resources.

## (2) Other sanctions.

A benefit-eligible, non-faculty employee may be suspended with pay when continued employment may be harmful to the University or impede the outcome of a thorough and fair investigation of the facts regarding an alleged offense.

A benefit-eligible, non-faculty employee may be suspended without pay in cases involving gross misconduct or chronic behavioral problems for which there seems to be no other appropriate response.

Before imposing sanctions, administrators must consult with the Office of Human Resources.

(3) Final sanction.

The final sanction in the corrective action process will be taken when the University is satisfied that the staff employee has been given an opportunity to meet the appropriate behavior or performance standard and has failed to do so, or when the particular circumstances warrant immediate dismissal in the best interests of the University.

Before imposing sanctions, administrators must consult with the Office of Human Resources (see Policy 399 Termination of Exempt and Non-exempt Staff).

An employee may resign rather than face corrective action. By doing so, however, the employee loses the right to file a grievance. Employees cannot be compelled to resign; resignation must be voluntary. Resignations should be made in writing and cannot be rescinded without mutual agreement of the employee and the University.

(4) Written documentation.

Dismissed employees shall receive from their supervisors a written statement summarizing the problems encountered, attempts to correct them, and the basic reason(s) for dismissal. The original statement will be given to the affected employee and a copy should be sent to the Office of Human Resources to be placed in the employee's file.

### **3.3 Alternatives for Employees Involved in Corrective Action Procedures**

If a University employee questions actions encountered during the corrective action process, or if he/she feels that the proceedings are unwarranted or unjust, the following resources are available to discuss appropriate corrective action processes with the employee:

(1) Department heads, supervisors, deans and vice presidents,

(2) the Office of Human Resources.

Benefit-eligible, non-faculty employees may also request a hearing under the guidelines of the grievance policy (Policy 325 Grievance Procedures).

## **311.4 RESPONSIBILITY**

### **4.1 Department Heads, Supervisors, Deans, and Vice Presidents**

Responsible for maintaining discipline and enforcing consistent and fair performance standards following the guidelines outlined in this policy. Supervisors must consult with the Office of Human Resources prior to any actions beyond the oral reprimand.

## **4.2 Office of Human Resources**

Responsible for communicating the University's philosophy of corrective action for constructive improvement and assisting supervisors in the application of these guidelines.

## **4.3 Employees**

Responsible for working closely with supervisors to address and improve performance according to the procedures outlined in this policy.



UtahStateUniversity

## University Policy 311: Setting Expectations and Managing Performance

Category: Personnel

Sub Category: General

Covered Individuals: Benefited Staff

Responsible Executive: Vice President for Business and Finance

Policy Custodian: Office of Human Resources, Associate Vice President of Human Resources

Last Revised: 2010/03/26

Previous USU Policy Number: N/A



### POLICY MANUAL

#### GENERAL

#### Number 311

Subject: Corrective Action

Covered Employees: Benefited Exempt and Non-exempt Staff Date of Origin: January 24, 1997; revised March 26, 2010

### 311.1 PURPOSE AND SCOPE

This policy guides supervisors in managing employee job performance through setting clear expectations, providing performance improvement measures, and applying disciplinary actions when needed. Employees and supervisors should work collaboratively to identify where and why work performance and/or behavior is not meeting expectations, and implement viable solutions.

### 311.2 POLICY

#### POLICY

Utah State University (USU) ~~strives to provide continuous employment through effective planning and proper selection of employees~~ values a respectful, safe, and productive work environment. All employees are expected to meet performance expectations, including conducting themselves with professionalism in accordance with USU [Policy 321: Respectful Workplace](#).

~~The University's objective for corrective action is to eliminate violations, improve performance, avoid recurrence, and protect the interests of the University. Normally, employees should be given an opportunity to improve their performance through informal discussion which could include a letter of~~

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expectation before sanctions are imposed. However, some circumstances may warrant immediate sanctions, including dismissal.

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Benefit-eligible, non-faculty (exempt and non-exempt) employees being formally corrected by imposition of sanctions need to be aware of their rights to use available avenues of review and redress, including discussing the issues with a representative of the Office of Human Resources and following the University grievance policy (Policy 325 Grievance Procedures) and/or equal opportunity complaint procedures (Policy 305 Affirmative Action/Equal Opportunity). Unacceptable work performance—whether due to inability or unwillingness to perform up to standards that are measurable, observable, objective, and specific—should be addressed through progressive performance management.

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The imposition of sanctions, including dismissal of an employee for cause, may result for any of the following job-related reasons under circumstances that demonstrate the inability or unwillingness of the employee to meet his/her responsibilities to the University. It is impossible to provide an exhaustive list that identifies every type of conduct or performance problem that may result in some form of corrective action. However, to offer University employees some guidance, the following list provides examples of conduct that may result in the application of sanctions: negligence; incompetence; violation of University policies; excessive or unauthorized absence; misuse of institutional property or funds; disorderly conduct; fraud; falsification on an employment application; unsuitability to job requirements; being under the influence of alcohol or drugs while working; insubordination; unjustified interference with the work of others; violation of applicable statutory requirements or University regulations relating to employment practices, including, but not limited to, regulations prohibiting discrimination or harassment because of race, color, religion, sex, national origin, age, disability, veteran's status, sexual orientation, or other legally impermissible behavior; conviction of a crime by a court of competent jurisdiction; and violation of other generally accepted standards of conduct, where such violation creates substantial inefficiency and/or an unacceptable work atmosphere at the institution.

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When significant allegations are identified, a benefit-eligible, non-faculty employee may be put on leave with pay pending notice of and an opportunity to respond to the charges at a meeting. After an investigation has taken place and the employee has been given an opportunity to discuss the results, appropriate action will be taken by the University.

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The University's philosophy of corrective action is one of constructive action, administered fairly and consistently. Normally, corrective action will be progressive; however, sanctions may be initiated at any step in the process at the University's discretion, depending on the performance problem, the type of conduct, or the nature of the offense involved.

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Throughout the entire corrective action process, all parties involved should maintain confidentiality to ensure the rights of the employee and the institution.

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## 2.1 Setting Expectations and Identifying Performance Issues

Supervisors should establish clear expectations for acceptable work performance via a clear job description, supervisory guidance, coaching, training, policy, rules, and regulations using tools and methods to measure results to create a work environment which allows employees to perform their best. Employees should seek clarification from their supervisor when they feel expectations are not clear.

Generally, when a performance issue is first identified, it should be handled informally between the employee and their supervisor through feedback, coaching, and/or additional training.

Examples of unacceptable work performance include but are not limited to:

- Non-compliance with supervisory direction, coaching, training, policy, rules, and regulations;
- Behavior not in accordance with [USU Policy 321: Respectful Workplace](#);
- Tardiness or non-compliance with designated work schedule; and
- Absenteeism.

## 2.2 Addressing Unacceptable Work Performance

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If a performance issue cannot be addressed or corrected through informal methods, the next step may be disciplinary action. Supervisors are encouraged to consult with the Office of Human Resources in cases where it is unclear which method of correction to use when managing an employee performance issue.

#### 2.2.1 Performance Improvement Measures

When informal efforts do not correct unacceptable work performance, documented performance improvement measures should be used, including a Letter of Expectations (LOE) or a Performance Improvement Plan (PIP). Supervisors should maintain documentation of all performance improvement measures, both formal and informal.

##### 2.2.1.1 Letter of Expectations

The Letter of Expectations (LOE) is a tool to help supervisors clarify expectations in writing for acceptable work performance. This letter should be used in conjunction with a one-on-one meeting to provide guidance, direction, and clear expectations regarding performance in the workplace. The LOE is not considered a formal step in the disciplinary process.

##### 2.2.1.2 Performance Improvement Plan

A Performance Improvement Plan (PIP) identifies unacceptable work performance and reasons for the performance gap, creates a plan of action with employee input, and provides the opportunity for employees to succeed in their role with USU. A PIP includes a specific completion timeline with each party's responsibilities within the given timeline. Both the employee and the supervisor should sign the PIP. If the employee declines to sign, it should be noted on the PIP. A PIP may be used in conjunction with a written warning when appropriate. A PIP is not considered a formal step in the disciplinary process.

## DEFINITIONS

### 2.1 — Corrective Action

Employment-related action (including imposition of sanctions) undertaken to correct or modify unacceptable job performance or behavior to acceptable standards. Corrective action measures authorized to be imposed upon employees include an oral reprimand, written warning, administrative leave with or without pay, and dismissal from employment.

### 2.2 Termination Notice

Actual personal delivery of a written statement to an individual. If the individual cannot be personally located at the usual place of employment during assigned working hours, notice may be given by mailing the statement to the employee at his/her last known address. If notice is mailed, it is deemed effective for all purposes when deposited in an appropriate mailbox or mail slot.

### 311.3 PROCEDURES

#### 3.1 Guidelines for Employees in their Introductory Period (see Policy 395 Introductory Period of Employment)

(1) Dismissal from employment may be effected prior to the end of an employee's introductory period with or without cause and without giving the employee a written statement of cause for dismissal, for any lawful reason deemed adequate by the University, including but not limited to:

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~~unsatisfactory performance, unacceptable behavior, or violations of University policy.~~

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~~(2) Supervisors should maintain written documentation regarding the dismissal of employees in their introductory period. This documentation should include a statement of the problems encountered, attempts to correct them and the reason for dismissal. A copy of this documentation should be forwarded to the Office of Human Resources for inclusion in the appropriate personnel file. A reason for termination must be included in the comments section of the termination EPAF.~~

~~(3) Benefit-eligible, non-faculty employees in their introductory period do not have access to the University's formal grievance process (Policy 325-Grievance Procedures). However, these employees have the right to respond, explain, correct, or deny in writing any facts in question and send their reply to the Office of Human Resources for inclusion in their file.~~

~~(4) The progressive corrective action procedures outlined in the following section need not be followed for part-time and temporary employees, and benefit-eligible, non-faculty employees in their introductory periods of employment.~~

### 3.2 Corrective Action Procedures for Employees

The University believes the corrective action procedures set forth below are generally appropriate concerning employee conduct and performance. Provisions of these procedures are not, however, absolute rules. These guidelines outline general policies that supervisors should consider when counseling with employees. ~~Normally, progressive corrective action will involve the following steps, but exceptions or deviations may occur whenever the University deems that circumstances warrant that one or more steps in the process should be skipped. Accordingly, some circumstances may warrant immediate dismissal. Before imposing sanctions, administrators should consult with the Office of Human Resources.~~

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### 2.3 Disciplinary Action

Disciplinary action is a formal process used to correct unacceptable work performance, misconduct, or failure to comply with departmental or university policy. Disciplinary action is typically imposed on a progressive basis moving from verbal to written to a final action, including termination. Progressive steps (see 2.3.1) may be skipped or repeated depending on the frequency, severity, or nature of the unacceptable work performance.

In circumstances of serious misconduct, suspension without pay or immediate termination without notice may be appropriate.

Supervisors must review formal disciplinary actions with the Office of Human Resources before taking any action.

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#### (1) Progressive steps.

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~~If an employee fails to perform work in accordance with the requirements of the position and the expectations of the University, the supervisor should talk to the employee to find out the facts of the situation prior to any formal corrective action. This meeting could include the delivery of a letter of expectation which would include a copy of the employee's job description and a discussion about unsatisfactory performance with a timeline for follow-up. Depending on the situation, there are exceptions which may occur in the progressive corrective action procedures outlined here.~~

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#### 2.3.1 Progressive Steps

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## (a) Verbal Warning

~~(a) Oral reprimand.~~ Initial ~~corrective-disciplinary~~ action should be in the form of ~~an oral discussion~~ verbal, face-to-face discussion with and subsequent documentation. This meeting should be held in private, and ~~should provide~~ with an opportunity for problem solving, ~~that results~~ in clear problem identification, correction strategies, and employee commitment to improve. This meeting should be documented with the employee's signature and date. If the employee declines to sign, it should be ~~so~~-noted. The document should inform the employee (1) ~~that this is the first step of disciplinary action, in the formal corrective action process~~ and (2) ~~of include the consequences of failure to if performance does not improve.~~ The employee has the right to respond ~~either verbally and/or attach in writing~~ written comments to the verbal warning documentation. Verbal warnings do not need to be submitted to the Office of Human Resources or placed in the employee's personnel file.

If the employee successfully corrects the identified problems and maintains satisfactory performance, a written notice will be given to the employee with a copy to his/her file.

~~(b)~~ (b) Written Warning: A written warning may be issued to an employee who does not correct a performance deficiency in response to an oral reprimand.

The purpose of a written warning is to ~~make certain that the employee is fully aware of the performance deficiency or misconduct he/she has committed, what is expected, a reasonable time frame in which to accomplish the improvement, and the consequences of the further address failure to meet satisfactory expectations.~~ The written warning should be a formal letter presented in a private face-to-face meeting. This private meeting should provide an opportunity for problem solving resulting in clear problem identification, correction strategies, and employee commitment to improve. This meeting should be documented with the employee's signature and the date. ~~The employee should sign the written warning signifying that it has been received. Should~~ If the employee declines to sign, it should be ~~so~~-noted. The document should inform the employee (1) this is a disciplinary action, and (2) of consequences if performance does not improve. The employee has the right to respond verbally and/or attach written comments to the written warning. The employee will receive ~~the original~~ a copy of the written warning letter and a copy ~~should must~~ be sent to the department head/director and the Office of Human Resources to be filed in the employee's personnel file. ~~Supervisors must consult with a representative of the Office of Human Resources before issuing a written warning.~~

If the employee successfully corrects the identified problems on a consistent basis, a written notice rescinding the warning will be given to the employee with a copy to his/her file and a copy to the Office of Human Resources.

## (2) Other sanctions.

A benefit-eligible, non-faculty employee may be suspended with pay when continued employment may be harmful to the University or impede the outcome of a thorough and fair investigation of the facts regarding an alleged offense.

A benefit-eligible, non-faculty employee may be suspended without pay in cases involving gross misconduct or chronic behavioral problems for which there seems to be no other appropriate response.

~~(3)~~ Before imposing sanctions, administrators must consult with the Office of Human Resources. Final sanction.

The final sanction in the corrective action process will be taken when the University is satisfied that the staff employee has been given an opportunity to meet the appropriate behavior or performance standard and has failed to do so, or when the particular circumstances warrant immediate dismissal in the best interests of the University.

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~~Before imposing sanctions, administrators must consult with the Office of Human Resources (see Policy 399 Termination of Exempt and Non-exempt Staff).~~

(c) Termination

Termination is a decision made between the supervisor, the department head/director, and the Office of Human Resources. Termination may be considered when:

- The employee has failed to meet the performance expectations after being given an opportunity to improve.
- The employee has shown evidence of their inability or unwillingness to improve their performance.
- The employee's inappropriate behavior has remained the same or worsened.
- The particular circumstance or serious misconduct warrants immediate termination.

(See USU Policy 399: Termination of Exempt and Non-Exempt Staff.)

Once a decision to terminate has been made, the department head/director works with the Office of Human Resources to create a letter of termination to be delivered to the employee, in person, whenever possible. A copy will be placed in the employee's personnel file in accordance with USU Policy 399: Termination of Exempt and Non-Exempt Staff. If the employee is not available, the notice of termination will be sent by certified mail to the employee's last known address or be delivered verbally via phone. If notices or letters are mailed, they are deemed effective for all purposes once deposited at the US Post Office or a designated delivery service equivalent to the United States registered or certified mail.

#### 2.4 Resignation in Lieu of Disciplinary Action or Termination

An employee may resign, foregoing any rights to file a grievance, rather than face corrective action. ~~By doing so, however, the employee loses the right to file a grievance or disciplinary action (see USU Policy 325: Employee Grievance Procedures).~~ Employees cannot be compelled to resign; resignation must be voluntary. ~~Resignations should be~~ made in writing, and cannot be rescinded without mutual agreement by both of the employee and the University.

#### 2.5 Introductory Period of Employment

As noted in USU Policy 395: Introductory Period of Employment, new benefit-eligible staff members are to complete an introductory period. During their introductory period of employment, employees may be terminated without notice or prior warnings.

#### 2.6 Paid Administrative Leave

In some cases, allegations of misconduct may lead to an investigation. During this process, it may be necessary and appropriate to place the employee on paid administrative leave pending completion of the investigation. Administrative leave is not a sanction for any alleged behavior(s) that have been reported. During paid administrative leave, the employee's pay and benefits are not affected. Administrative leave is used as an interim measure to protect the integrity of the investigation and avoid any claim that an employee may have adversely influenced the investigation in any way. Administrative leave also protects the employee from additional allegations or accusations of retaliation when the investigation is completed.

##### ~~(4) Written documentation.~~

~~Dismissed employees shall receive from their supervisors a written statement summarizing the problems encountered, attempts to correct them, and the basic reason(s) for dismissal. The original statement will be given to the affected employee and a copy should be sent to the Office of Human Resources to be placed in the employee's file.~~

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~~3.3 Alternatives for Employees Involved in Corrective Action Procedures~~  
2.7 Employee Response to Disciplinary Action

If an employee questions actions, or if they feel the actions are unwarranted or unjust, the following options are available to the employee:

~~If a University employee questions actions encountered during the corrective action process, or if he/she feels that the proceedings are unwarranted or unjust, the following resources are available to discuss appropriate corrective action processes with the employee:~~

- (1) ~~Department heads, supervisors, deans and vice presidents~~ Attach written comments to any performance documentation within 30 calendar days of receiving;

Consult with

- ~~(2) the Office of Human Resources; or;~~

(2)

- (3) Initiate a formal grievance under USU ~~Benefit eligible, non faculty employees may also request a hearing under the guidelines of the grievance policy (Policy 325: Employee Grievance Procedures)~~ Policy 325: Employee Grievance Procedures, where appropriate).

~~311.4 RESPONSIBILITY~~  
311.3 RESPONSIBILITIES

~~4.1 Department Heads, Supervisors, Deans, and Vice Presidents~~

3.1 Department Heads and Supervisors

Department heads and supervisors are ~~R~~esponsible for ~~setting clear, maintaining discipline and enforcing consistent, and fair performance and conduct standards following the guidelines outlined in~~ accordance with this policy. They work collaboratively with their employees to help them perform to the best of their ability and to hold employees accountable when standards are not met to include taking appropriate corrective and/or disciplinary action.

Department heads and ~~S~~upervisors must consult with the Office of Human Resources prior to any formal disciplinary actions ~~beyond the oral reprimand.~~

~~4.2 Office of Human Resources~~

3.2 Office of Human Resources

The Office of Human Resources is ~~R~~esponsible for ~~providing guidance and direction to both the employees and the supervisors regarding the setting of expectations and managing employee performance~~ communicating the University's philosophy of corrective action for constructive improvement and assisting supervisors in the application of these guidelines.

~~4.3 Employees~~

3.3 Employees

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Employees are **R**esponsible for working closely with supervisors to **have** expectations from supervisors and the university clarified, and work to address **and improve** performance or conduct issues if or when they occur **according to the procedures outlined in this policy**.

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### 311.4 REFERENCES

None

### 311.5 RELATED USU POLICIES

- [USU Policy 321: Respectful Workplace](#)
- [USU Policy 325: Employment Grievance Procedures](#)
- [USU Policy 395: Introductory Period of Employment](#)
- [USU Policy 399: Termination of Exempt and Non-Exempt Staff](#)

### 311.6 DEFINITIONS

#### 6.1 Disciplinary Action

Employment-related action undertaken to correct or modify unacceptable job performance or behavior to acceptable standards. Disciplinary actions include verbal warnings, written warnings, suspension without pay, and termination of employment.

Information below is not included as part of the contents of the official Policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

### RESOURCES

None

### POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2010/03/26

Next scheduled review date: 2021/05/05

Previous revision dates: 2010/03/26

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# University Policy 311: Setting Expectations and Managing Performance

**Category:** Personnel

**Sub Category:** General

**Covered Individuals:** Benefited Staff

**Responsible Executive:** Vice President for Business and Finance

**Policy Custodian:** Office of Human Resources, Associate Vice President of Human Resources

**Last Revised:** 2010/03/26

**Previous USU Policy Number:** N/A

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## 311.1 PURPOSE AND SCOPE

This policy guides supervisors in managing employee job performance through setting clear expectations, providing performance improvement measures, and applying disciplinary actions when needed. Employees and supervisors should work collaboratively to identify where and why work performance and/or behavior is not meeting expectations, and implement viable solutions.

## 311.2 POLICY

Utah State University (USU) values a respectful, safe, and productive work environment. All employees are expected to meet performance expectations, including conducting themselves with professionalism in accordance with USU [Policy 321: Respectful Workplace](#).

Unacceptable work performance—whether due to inability or unwillingness to perform up to standards that are measurable, observable, objective, and specific—should be addressed through progressive performance management.

### 2.1 Setting Expectations and Identifying Performance Issues

Supervisors should establish clear expectations for acceptable work performance via a clear job description, supervisory guidance, coaching, training, policy, rules, and regulations using tools and methods to measure results to create a work environment which allows employees to perform their best. Employees should seek clarification from their supervisor when they feel expectations are not clear.

Generally, when a performance issue is first identified, it should be handled informally between the employee and their supervisor through feedback, coaching, and/or additional training.

Examples of unacceptable work performance include but are not limited to:

- Non-compliance with supervisory direction, coaching, training, policy, rules, and regulations;
- Behavior not in accordance with USU [Policy 321: Respectful Workplace](#);
- Tardiness or non-compliance with designated work schedule; and
- Absenteeism.

### 2.2 Addressing Unacceptable Work Performance

If a performance issue cannot be addressed or corrected through informal methods, the next step may be disciplinary action. Supervisors are encouraged to consult with the Office of Human Resources in cases where it is unclear which method of correction to use when managing an employee performance issue.

#### 2.2.1 Performance Improvement Measures



When informal efforts do not correct unacceptable work performance, documented performance improvement measures should be used, including a Letter of Expectations (LOE) or a Performance Improvement Plan (PIP). Supervisors should maintain documentation of all performance improvement measures, both formal and informal.

#### 2.2.1.1 Letter of Expectations

The Letter of Expectations (LOE) is a tool to help supervisors clarify expectations in writing for acceptable work performance. This letter should be used in conjunction with a one-on-one meeting to provide guidance, direction, and clear expectations regarding performance in the workplace. The LOE is not considered a formal step in the disciplinary process.

#### 2.2.1.2 Performance Improvement Plan

A Performance Improvement Plan (PIP) identifies unacceptable work performance and reasons for the performance gap, creates a plan of action with employee input, and provides the opportunity for employees to succeed in their role with USU. A PIP includes a specific completion timeline with each party's responsibilities within the given timeline. Both the employee and the supervisor should sign the PIP. If the employee declines to sign, it should be noted on the PIP. A PIP may be used in conjunction with a written warning when appropriate. A PIP is not considered a formal step in the disciplinary process.

### 2.3 Disciplinary Action

Disciplinary action is a formal process used to correct unacceptable work performance, misconduct, or failure to comply with departmental or university policy. Disciplinary action is typically imposed on a progressive basis moving from verbal to written to a final action, including termination. Progressive steps (see 2.3.1) may be skipped or repeated depending on the frequency, severity, or nature of the unacceptable work performance.

In circumstances of serious misconduct, suspension without pay or immediate termination without notice may be appropriate.

Supervisors must review formal disciplinary actions with the Office of Human Resources before taking any action.

#### 2.3.1 Progressive Steps

##### (a) Verbal Warning

Initial disciplinary action should be in the form of verbal, face-to-face discussion with subsequent documentation. This meeting should be held in private, with an opportunity for problem solving, resulting in clear problem identification, correction strategies, and employee commitment to improve. This meeting should be documented with the employee's signature and date. If the employee declines to sign, it should be noted. The document should inform the employee (1) this is the first step of disciplinary action, and (2) of the consequences if performance does not improve. The employee has the right to respond verbally and/or attach written comments to the verbal warning documentation. Verbal warnings do not need to be submitted to the Office of Human Resources or placed in the employee's personnel file.

##### (b) Written Warning

The purpose of a written warning is to further address failure to meet expectations. The written warning should be a formal letter presented in a private face-to-face meeting. This private meeting should provide an opportunity for problem solving resulting in clear problem identification, correction strategies, and employee commitment to improve. This meeting should be documented with the employee's signature and the date. If the employee declines to sign, it should be noted. The document should inform the employee (1) this is a disciplinary action, and (2) of consequences if performance does not improve. The employee

has the right to respond verbally and/or attach written comments to the written warning. The employee will receive a copy of the written warning letter and a copy must be sent to the department head/director and the Office of Human Resources to be filed in the employee's personnel file.

(c) Termination

Termination is a decision made between the supervisor, the department head/director, and the Office of Human Resources. Termination may be considered when:

- The employee has failed to meet the performance expectations after being given an opportunity to improve.
- The employee has shown evidence of their inability or unwillingness to improve their performance.
- The employee's inappropriate behavior has remained the same or worsened.
- The particular circumstance or serious misconduct warrants immediate termination.

(See USU [Policy 399: Termination of Exempt and Non-Exempt Staff](#).)

Once a decision to terminate has been made, the department head/director works with the Office of Human Resources to create a letter of termination to be delivered to the employee, in person, whenever possible. A copy will be placed in the employee's personnel file in accordance with USU [Policy 399: Termination of Exempt and Non-Exempt Staff](#). If the employee is not available, the notice of termination will be sent by certified mail to the employee's last known address or be delivered verbally via phone. If notices or letters are mailed, they are deemed effective for all purposes once deposited at the US Post Office or a designated delivery service equivalent to the United States registered or certified mail.

## 2.4 Resignation in Lieu of Disciplinary Action or Termination

An employee may resign, foregoing any rights to file a grievance, rather than face corrective action or disciplinary action (see USU [Policy 325: Employee Grievance Procedures](#)). Employees cannot be compelled to resign; resignation must be voluntary, made in writing, and cannot be rescinded without mutual agreement by both the employee and the university.

## 2.5 Introductory Period of Employment

As noted in USU [Policy 395: Introductory Period of Employment](#), new benefit-eligible staff members are to complete an introductory period. During their introductory period of employment, employees may be terminated without notice or prior warnings.

## 2.6 Paid Administrative Leave

In some cases, allegations of misconduct may lead to an investigation. During this process, it may be necessary and appropriate to place the employee on paid administrative leave pending completion of the investigation. Administrative leave is not a sanction for any alleged behavior(s) that have been reported. During paid administrative leave, the employee's pay and benefits are not affected. Administrative leave is used as an interim measure to protect the integrity of the investigation and avoid any claim that an employee may have adversely influenced the investigation in any way. Administrative leave also protects the employee from additional allegations or accusations of retaliation when the investigation is completed.

## 2.7 Employee Response to Disciplinary Action

If an employee questions actions, or if they feel the actions are unwarranted or unjust, the following options are available to the employee:

- (1) Attach written comments to any performance documentation within 30 calendar days of receiving;
- (2) Consult with the Office of Human Resources; or

- (3) Initiate a formal grievance under USU [Policy 325: Employee Grievance Procedures](#), where appropriate.

### 311.3 RESPONSIBILITIES

#### 3.1 Department Heads and Supervisors

Department heads and supervisors are responsible for setting clear, consistent, and fair performance and conduct standards in accordance with this policy. They work collaboratively with their employees to help them perform to the best of their ability and to hold employees accountable when standards are not met to include taking appropriate corrective and/or disciplinary action.

Department heads and supervisors must consult with the Office of Human Resources prior to any formal disciplinary actions.

#### 3.2 Office of Human Resources

The Office of Human Resources is responsible for providing guidance and direction to both the employees and the supervisors regarding the setting of expectations and managing employee performance.

#### 3.3 Employees

Employees are responsible for working closely with supervisors to have expectations from supervisors and the university clarified, and work to address performance or conduct issues if or when they occur.

### 311.4 REFERENCES

None

### 311.5 RELATED USU POLICIES

- USU [Policy 321: Respectful Workplace](#)
- USU [Policy 325: Employment Grievance Procedures](#)
- USU [Policy 395: Introductory Period of Employment](#)
- USU [Policy 399: Termination of Exempt and Non-Exempt Staff](#)

### 311.6 DEFINITIONS

#### 6.1 Disciplinary Action

Employment-related action undertaken to correct or modify unacceptable job performance or behavior to acceptable standards. Disciplinary actions include verbal warnings, written warnings, suspension without pay, and termination of employment.

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Information below is not included as part of the contents of the official policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the president, subject to review by the USU Policy Committee.

### RESOURCES

None

### POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2010/03/26

Next scheduled review date: 2021/05/05

Previous revision dates: 2010/03/26

## ITEM FOR ACTION

Re: Amendments to USU Policy 321: Respectful Workplace

### Key

- Red – Deletions
- Blue – Additions
- Black – Original to Policy
- Green – Movements of original text placement

### SUMMARY OF CHANGES

- **Updates due to passage of HB12**  
Policy 321 was approved on 3/13/20 pending any further changes required by the potential passage of HB12 Abusive Conduct Reporting Requirements at that time. HB12 subsequently passed and is going into effect on 1/1/21.
- **Added Required Abusive Conduct Language**  
Added and clarified definitional language from HB12 related to abusive conduct and eliminated redundant language that was similar.
- **Added Language Related to Annual Training Requirement**  
Added language to clarify employees are expected to complete training required by HB12 on at least an annual basis. Supervisors are expected to ensure their employees take the training at least annually. The Office of Human Resources will ensure training is offered to employees on at least an annual basis and provide annual reports to the state as required. Initially training will be a short stand-alone training (<15 min). Eventually, we hope to be able to fold in with other trainings.
- **Added Investigatory and Administrative Review Language**  
Added language to meet the investigatory and review requirements of HB12. The Office of Human Resources will be designated to take lead in abusive conduct concerns and designate personnel for appropriate administrative review when requested under the policy.



## University Policy 321: Respectful Workplace

**Category:** 300 Human Resources

**Sub Category:** General

**Covered Individuals:** Benefited Employees

**Responsible Executive:** Vice President for Business and Finance

**Policy Custodian:** Office of Human Resources, ~~Executive Director~~ Associate Vice President of Human Resources

**Last Revised:** 2020/03/13

**Previous USU Policy Number:** Not applicable

### 321.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to maintaining a work environment that encourages mutual respect and facilitates collegial relationships. To build and promote trust, all USU employees are collectively responsible to set a positive example and to avoid behaving disrespectfully, including bullying, or any other behavior that would reasonably offend, intimidate, embarrass, or humiliate others, whether deliberately or unintentionally.

### 321.2 POLICY

University related interactions should be conducted with courtesy, civility, decency, and a concern for personal dignity. Disrespectful behavior and/or abusive conduct, ~~including but not limited to, mistreatment, bullying, humiliation and/or intimidation~~ will not be tolerated. Expectations include, but are not limited to, using professional language, not recording interactions without all parties' consent, and not providing unrelated third parties unauthorized access to university and/or employee information (see USU Policy 319: Employee Privacy and Confidentiality and Policy 556: Information Privacy for more information).

Employees violating this policy are subject to disciplinary action up to and including termination of employment per USU Policy 311: ~~Corrective Action~~ Setting Expectations and Managing Performance, which applies to benefited non-faculty employees, and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures, which applies to faculty. All employees are expected to complete training on preventing abusive conduct in the workplace at least annually.

For issues regarding sexual harassment, please refer to USU Policy 339: Sexual Harassment. For issues regarding discrimination, please refer to USU Policy 303: Affirmative Action/Equal Opportunity.

This policy does not limit USU leadership's right to manage. Performance management, work assignment and evaluation, and disciplinary measures taken by USU for any valid reason do not constitute disrespectful behavior, abusive conduct, and/or bullying. Such management actions should be done in ways that are consistent with the intent and expectations of this respectful workplace policy.

### 2.1 Reporting and Resolution of Disrespectful Behavior and/or Abusive Conduct

If an employee is subjected to or observes disrespectful [and/or](#) abusive conduct of another by an individual or group of individuals, the employee should first attempt to resolve concerns within their own area per USU Policy 325: Employment Grievance Procedures. This should be done by discussing their concerns or observations with their immediate [supervisor](#). Their immediate supervisor will then initiate a process to determine the nature and extent of the issue and initiate an effective resolution.

If an employee does not feel comfortable contacting their immediate supervisor, the employee may contact another level of management within their [reporting chain](#) or the Office of Human Resources, who will meet with the employee to discuss their concerns or observations. [The Office of Human Resources will then initiate a ~~process review to determine the nature and extent of the issue~~ and collaborate with the appropriate leadership and employee\(s\) to initiate an effective resolution. Additionally, the Office of Human Resources may formally investigate allegations of abusive conduct to determine whether such conduct occurred. Parties and participants in such investigations shall treat information pertaining to the matter as confidential, subject to the rights and obligations of the party or participant. If the investigation reveals evidence of criminal conduct, the Office of Human Resources, in consultation with the Office of Legal Affairs, may refer the matter to the appropriate law enforcement agency.](#)

[At the conclusion of an abusive conduct investigation, the parties will be notified of any investigative findings and of the procedure to request an administrative review of the findings.](#)

## [2.2 Administrative Review](#)

[An employee that has been subject to an investigation under this policy may seek an administrative review of any investigative findings by written request to the Office of Human Resources within 10 calendar days of receiving notification of the investigative findings. The Office of Human Resources will designate appropriate administrative review personnel, who shall not be the same individuals as those who personally conducted the investigation. The review personnel will determine within 30 days of receiving the administrative review request whether the investigative findings are reasonable, rational, and sufficiently supported by the evidence. This determination is not subject to further review.](#)

## 321.3 RESPONSIBILITY

### 3.1 Supervisors

Supervisors have an obligation to set expectations in their areas to ensure a safe, collegial, and respectful workplace for all employees and address issues as they arise. If a supervisor becomes aware of a situation within their area that may violate this policy, the supervisor should take appropriate steps to resolve the problem on an informal basis. If [informal processes](#) are not adequate to address the situation, then ~~formal disciplinary procedures~~ [formal disciplinary action](#) should be utilized per USU Policy 311: ~~Corrective Action~~ [Setting Expectations and Managing Performance](#), which applies to benefited employees (non-faculty) and USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty). [Supervisors should ensure that their employees complete training on the prevention of abusive conduct in the workplace at least annually.](#)

### 3.2 Employees

All employees have an obligation to promote and preserve the reputation of the [uUniversity](#) by demonstrating respect toward all members of the campus community, including students, faculty, and staff. Employees are responsible for responding to and reporting perceived disrespectful [and/or](#) abusive conduct in accordance with this policy. [All employees are](#)

expected to complete training on the prevention of abusive conduct in the workplace at least annually.

### 3.3 Office of Human Resources

The Office of Human Resources may investigate, make determinations, advise, assist, and/or mediate between employees and departments in resolving possible violations of the policy. The Office of Human Resources will offer all employees training on the prevention of abusive conduct in the workplace.

## 321.4 REFERENCES

- H.B. 12 Abusive Conduct Reporting Amendments (2020)

## 321.5 RELATED USU POLICIES

- Policy 303: Affirmative Action/Equal Opportunity
- Policy 311: ~~Corrective Action~~ Setting Expectations and Managing Performance
- Policy 319: Employee Privacy and Confidentiality
- Policy 325: Employment Grievance Procedures
- Policy 339: Sexual Harassment
- Policy 407: Academic Due Process: Sanctions and Hearing Procedures
- Policy 556: Information Privacy

## 321.6 DEFINITIONS

### 6.1 Abusive Conduct –

Verbal, non-verbal, or physical conduct of one party to another that, based on its severity, nature, and frequency of occurrence, a reasonable person would determine that it: (A) that it is intended to cause intimidation, humiliation, or unwarranted distress; (B) results in substantial physical or harm or substantial psychological harm as a result of intimidation, humiliation, or unwarranted distress; or (C) exploits an employee's known physical or psychological disability.

Bullying is one form of abusive conduct. It is conduct that seeks to harm, intimidate, coerce, persecute, or torment; often repeated or habitual.

~~6.1 Bullying—Conduct that seeks to harm, intimidate, coerce, persecute, or torment; often repeated or habitual.~~

### 6.2 Employee –

Any individual legally employed by Utah State University in any capacity.

### 6.3 Formal Disciplinary Procedures ~~Action~~ –

~~Corrective a~~Action as set forth by USU Policy 311: ~~Corrective Action~~ Setting Expectations and Managing Performance which applies to benefited employees (non-faculty) and Policy 407: Academic Due Process: Sanctions and Hearing Procedures (faculty).

~~6.2 Humiliation—Conduct that would reasonably be expected to cause undue embarrassment, shame, disgrace, or dishonor.~~



#### 6.4 Informal Processes –

Any process that does not follow the formal ~~corrective-disciplinary~~ action(s) set forth by USU Policy 311: ~~Corrective Action~~ [Setting Expectations and Managing Performance](#), or USU Policy 407: Academic Due Process: Sanctions and Hearing Procedures (e.g. ~~conversation~~ [Performance Improvement Plan](#), [Letter of Expectation](#)).

~~6.3 Intimidation – Conduct that would reasonably be expected to cause undue fear and distress.~~

#### 6.5 Reporting Chain –

Levels of supervisory roles within a department or unit.

#### 6.6 Supervisor –

A person employed by Utah State University who has hiring authority and/or holds a position that directly supervises an employee of Utah State University.

#### 6.7 University Related Interactions –

Any job function that pertains to Utah State University.

Information below is not included as part of the contents of the official Policy. It is provided only as a convenience for readers/users and may be changed at any time by persons authorized by the President, subject to review by the USU Policy Committee.

## RESOURCES

~~(List resources to aid in compliance or indicate "None.") [Arial Narrow 10]~~

### Procedures

- ~~None~~ [Please see 2.2 Administrative Review above.](#)

### Guidance

- ~~None~~

### Related Forms and Tools

- ~~None~~

### Contacts

- [Office of](#) Human Resources Solution Center, [hr@usu.edu](mailto:hr@usu.edu), (435) 797-0122

## POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2020/03/13, [2020/12/09](#)

-Next scheduled review date:

Previous revision dates: [2020/03/13](#), 2015/03/06, 1997/01/24, [2019/03/13](#)



## University Policy 321: Respectful Workplace

**Category:** 300 Human Resources

**Sub Category:** General

**Covered Individuals:** Benefited Employees

**Responsible Executive:** Vice President for Business and Finance

**Policy Custodian:** Office of Human Resources, Associate Vice President of Human Resources

**Last Revised:** 2020/03/13

**Previous USU Policy Number:** Not applicable

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### 321.1 PURPOSE AND SCOPE

Utah State University (USU) is committed to maintaining a work environment that encourages mutual respect and facilitates collegial relationships. To build and promote trust, all USU [employees](#) are collectively responsible to set a positive example and to avoid behaving disrespectfully, including bullying, or any other behavior that would reasonably offend, intimidate, embarrass, or humiliate others, whether deliberately or unintentionally.

### 321.2 POLICY

[University related interactions](#) should be conducted with courtesy, civility, decency, and a concern for personal dignity. Disrespectful behavior and/or [abusive conduct](#), will not be tolerated. Expectations include, but are not limited to, using professional language, not recording interactions without all parties' consent, and not providing unrelated third parties unauthorized access to university and/or employee information (see USU Policy 319: Employee Privacy and Confidentiality and Policy 556: Information Privacy for more information).

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within their own area per USU Policy 325: Employment Grievance Procedures. This should be done by discussing their concerns or observations with their immediate [supervisor](#). Their immediate supervisor will then initiate a process to determine the nature and extent of the issue and initiate an effective resolution.

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At the conclusion of an abusive conduct investigation, the parties will be notified of any investigative findings and of the procedure to request an administrative review of the findings.

## 2.2 Administrative Review

An employee that has been subject to an investigation under this policy may seek an administrative review of any investigative findings by written request to the Office of Human Resources within 10 calendar days of receiving notification of the investigative findings. The Office of Human Resources will designate appropriate administrative review personnel, who shall not be the same individuals as those who personally conducted the investigation. The review personnel will determine within 30 days of receiving the administrative review request whether the investigative findings are reasonable, rational, and sufficiently supported by the evidence. This determination is not subject to further review.

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## 321.4 REFERENCES

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- [Policy 311](#): Setting Expectations and Managing Performance
- [Policy 319](#): Employee Privacy and Confidentiality
- [Policy 325](#): Employment Grievance Procedures
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## RESOURCES

### Procedures

- Please see 2.2 Administrative Review above.

### Contacts

- Office of Human Resources Solution Center, [hr@usu.edu](mailto:hr@usu.edu), (435) 797-0122

## POLICY HISTORY

Original issue date: 1997/01/24

Last review date: 2020/03/13, 2020/12/09

Next scheduled review date:

Previous revision dates: 2020/03/13, 2015/03/06, 1997/01/24,

## Parking and Transportation Advisory Committee Faculty Senate Committee Summary Report

### Section 1. Introduction:

The role of the Parking and Transportation Advisory Committee is to formulate recommendations regarding parking policies. All recommendations are subject to adoption by the Administration. The committee membership represents faculty, staff and students. Membership consisted of the following individuals for the 2020-2021 academic year:

#### CONSTITUENCY REPRESENTED

#### MEMBER

##### *Faculty/Staff Members*

Chair	Steve Jenson	<a href="mailto:Steve.Jenson@usu.edu">Steve.Jenson@usu.edu</a>
Faculty Senate	Benjamin George	<a href="mailto:Benjamin.George@usu.edu">Benjamin.George@usu.edu</a>
Faculty Senate	Open	
Faculty at Large/Provosts Office	Paul Barr	<a href="mailto:Paul.Barr@usu.edu">Paul.Barr@usu.edu</a>
Staff Employees Association	Dennis Kohler	<a href="mailto:Dennis.Kohler@usu.edu">Dennis.Kohler@usu.edu</a>
Staff Employees Association	Julie Duersch	<a href="mailto:Julie.Duersch@usu.edu">Julie.Duersch@usu.edu</a>
Facilities Master Planning Group	Jordy Guth	<a href="mailto:Jordy.Guth@usu.edu">Jordy.Guth@usu.edu</a>
Housing Master Planning Group	Kirk Bird	<a href="mailto:Kirk.Bird@usu.edu">Kirk.Bird@usu.edu</a>

##### *Student Members*

Executive Vice President	Lucas Stevens	<a href="mailto:executivevp.ususa@usu.edu">executivevp.ususa@usu.edu</a>
Student Advocate	Jenn Ha	<a href="mailto:studentadvocatevp.ususa@usu.edu">studentadvocatevp.ususa@usu.edu</a>
CAAS Senator	Austin Flitton	<a href="mailto:caassenator.ususa@usu.edu">caassenator.ususa@usu.edu</a>
Natural Resources Senator	Maria Catalano	<a href="mailto:nrsenator.ususa@usu.edu">nrsenator.ususa@usu.edu</a>
Residence Hall Association	Maddie Aller	<a href="mailto:maddie.aller@usu.edu">maddie.aller@usu.edu</a>

##### *Ex-Officio, Non-Voting Members*

Assistant	Allyson Olsen	<a href="mailto:Allyson.Olsen@usu.edu">Allyson.Olsen@usu.edu</a>
USU Police	Earl Morris	<a href="mailto:Earl.Orris@usu.edu">Earl.Orris@usu.edu</a>
Parking and Transportation Services	Tracy Hulse	<a href="mailto:Tracy.Hulse@usu.edu">Tracy.Hulse@usu.edu</a>
Parking and Transportation Services	Cassandra Fisher	<a href="mailto:Cassandra.Fisher@usu.edu">Cassandra.Fisher@usu.edu</a>
Parking and Transportation Services	Dave Compton	<a href="mailto:Dave.Compton@usu.edu">Dave.Compton@usu.edu</a>
Parking and Transportation Services	James Nye	<a href="mailto:James.Nye@usu.edu">James.Nye@usu.edu</a>

### Section 2. Outline of Facts and Discussions:

The Parking and Transportation Advisory Committee met on February 2<sup>nd</sup>, 2021 and approved the following resolutions. This action was agreed upon by the Chair of the Committee and Vice President Dave Cowley.

- Appendix A: 21-01 Increase in Parking Permit Rates
- Appendix B: Future Permit Pricing Projections
- Appendix C: Financial Report – 2020-2021 Projected Operations
- Appendix D: Faculty/Staff Parking Designation Changes - Summer 2021
- Appendix E: Summer 2021 Construction Map
- Appendix F: Peer Institution Parking Permit Comparison
- Appendix G: Green House Gas Reduction and Sustainability Efforts 2020-21

### **Section 3. Important Parking Related Issues:**

James Nye, Executive Director of Parking and Transportation, presented a department report. Projects that had a direct impact on patrons of Parking and Transportation.

- BNR Remodel – Orange NR Construction Site – 75 stalls – completion October 2020.
- New residential parking lot west of Central Suites – 178 stalls completion date of October 2020.
- Remolded Terraced lots with underground water storage tanks — completion October 2020.
- New Soccer fields in the Old Trailer Park- loss of overflow parking for Aggie Village and game day parking- complete December 2020.
- Construction of the Gateway Parking Terrace at 700 N 1100 E - 398 stall structure – complete February 2021.
- Closure of 1100 East Tunnel Project– impacting Gateway Terrace and Red permit holders– complete February 2021.
- Blue Square/800 East lighted cross walk signal and bus stops - remodel the steep south entrance and create a new sidewalk – complete January 2021.
- New Housing complex east of Central Suites – loss of 240 stalls – completion date of August 2022
- New IT Building north of Nutrition and Food Science building – loss of 125 stalls – completion date of September 2021.

### **Upcoming Plans for Committee**

The Parking and Transportation Advisory Committee discussed the following issues during the 2020-21 academic year. Other pertinent issues may come forth as necessary.

- East half of 700 N street remodel – summer of 2021.
- Re-design of the East Stadium Parking lot – summer 2021 – now delayed until 2022.
- Impact of COVID-19 on Parking and Transportation Budget.



## Appendix A: 21-01 Increase in Parking Permit Rates

1<sup>st</sup> Reading: February 2, 2021

Action: Passed

**RESOLUTION 21-01**  
**Utah State University**  
**Parking and Transportation Advisory Committee**

**Proposed by: Parking and Transportation Department**

**A RESOLUTION PROPOSING INCREASE IN PARKING PERMIT RATES**

**WHEREAS**, The Parking and Transportation Department is an Auxiliary Enterprise, defined by the Board of Regents Policy RSS0.3.1. The department must be self-supporting, which means receiving revenues (fees for service, sales, dedicated general fee, contributions, and investment income) must cover all or most of the direct and indirect operating expenses, assignable indirect costs, debt services, and capital expenditures (Board of Regents Policy RSS0.3.2); and

**WHEREAS**, University capital maintenance funding is not sufficient to meet the needs of all parking lot maintenance; and

**WHEREAS**, Since 2012, parking permit rates have adjusted for certain permits ranging from \$0 to \$20 per year (\$2.22 per month); and


**WHEREAS**, Several projects have been identified with start dates within the next year; resurfacing of parking lots on campus and the financial impact of a new parking structure; and

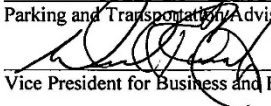
**WHEREAS**, In order to render adequate services, auxiliary enterprises must have funds sufficient to meet current and future capital maintenance needs (Board of Regents Policy RSS0.6.2); and

**WHEREAS**, To plan for future parking structures and ongoing maintenance of surface lots currently used, the Parking and Transportation Department proposes to increase parking permit rates as shown on the attached table;

**NOW THEREFORE BE IT RESOLVED BY THE PARKING AND TRANSPORTATION ADVISORY COMMITTEE**, That the parking permit rate increase recommendations be established in order to cover the cost of maintenance, future growth, and development of parking lots or structures.

Signed:

  
\_\_\_\_\_  
Parking and Transportation Advisory Committee Chair

  
\_\_\_\_\_  
Vice President for Business and Finance

2/3/2021

Date

2/4/21  
Date

### Faculty/Staff Lots - effective March 1, 2021

	Current Price	New Price	Annual Increase	Monthly Increase
Aggie Terrace	\$310	\$320	\$10	\$0.83
Big Blue Terrace	\$310	\$320	<b>\$10</b>	\$0.83
Gateway Terrace	\$310	\$320	\$10	\$0.83
Purple	\$225	\$235	\$10	\$0.83
Red	\$225	\$235	\$10	\$0.83
Orange	\$215	\$225	\$10	\$0.83
<b>Brown &amp; Gold</b>	\$225	\$235	\$10	\$0.83
Teal	\$215	\$225	<b>\$10</b>	\$0.83
Black	\$215	\$225	\$10	\$0.83
Green	\$180	\$190	\$10	\$0.83
Electric Vehicle (EV)	\$240	\$250	\$10	\$0.83

### Student Lots - effective July 1, 2021

	Current Price	New Price	Annual/ Academic Increase	Monthly Increase
Blue	\$180	\$190	\$10	\$0.83
Yellow	\$89	\$99	\$10	<b>\$1.11</b>
GT, BBT/Aggie Terrace Com	\$295	\$305	\$10	\$0.83

### Resident Lots - effective July 1, 2021

	Current Price	New Price	Annual/ Academic Increase	Monthly Increase
Aggie Terrace Resident	\$250	\$260	\$10	<b>\$1.11</b>
Gray 1 Central Suites/VVT	\$175	\$185	\$10	<b>\$1.11</b>
Gray 2 Richards/Bullen	\$175	\$185	<b>\$10</b>	<b>\$1.11</b>
Gray 3 Merrill	\$175	<b>\$185</b>	<b>\$10</b>	<b>\$1.11</b>
Gray 4 Highway	\$160	\$170	<b>\$10</b>	<b>\$1.11</b>
Gray 5 SLC	\$95	\$105	\$10	<b>\$1.11</b>
Gray 6 - 10 Aggie Village	\$100	\$110	\$10	\$0.83
Gray 11 Darwin Ave	\$175	\$185	\$10	\$0.83
Gray 12 Blue Square	\$160	\$170	\$10	<b>\$0.83</b>
Blue Square Reserved	\$215	\$225	\$10	<b>\$0.83</b>

Based on the current number of permits sold, the price increase will generate approximately \$72,000 annually.

## Appendix B: Future Permit Pricing Projections

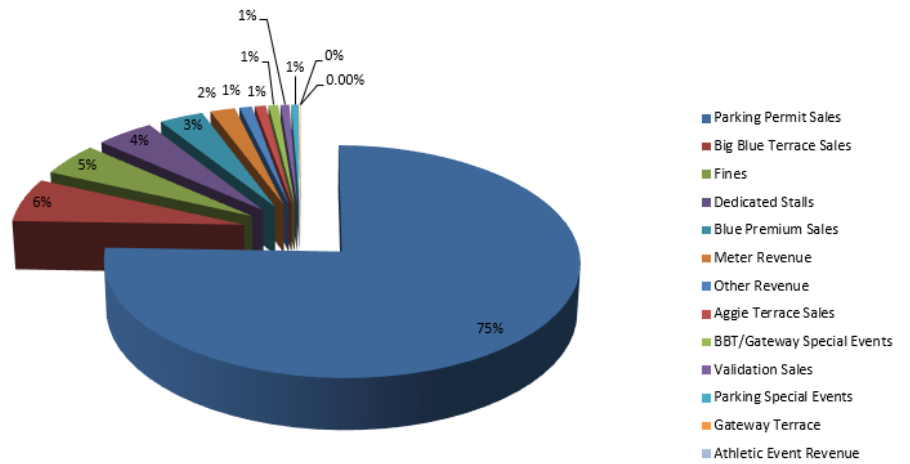
Future Permit Pricing Projections Faculty/Staff lots													
						New Pricing						% Increase	
Faculty/Staff Lots	2016	2017	2018	2019	2020	2021	2022	2017	2018	2019	2020	2021	2022
Aggie Terrace	\$260	\$273	\$285	\$295	\$310	\$320	\$335	5.00%	4.40%	3.51%	5.08%	3.23%	4.69%
Big Blue Terrace	\$260	\$273	\$285	\$295	\$310	\$320	\$335	5.00%	4.40%	3.51%	5.08%	3.23%	4.69%
Gateway Terrace					\$310	\$320	\$335					3.23%	4.69%
Brown/Gold/Purple	\$180	\$190	\$200	\$210	\$225	\$235	\$245	5.56%	5.26%	5.00%	7.14%	4.44%	4.26%
Red	\$198	\$200	\$200	\$210	\$225	\$235	\$245	1.01%	0.00%	5.00%	7.14%	4.44%	4.40%
Orange/Black/Teal	\$155	\$166	\$180	\$195	\$210	\$225	\$245	7.10%	8.43%	8.33%	7.69%	7.14%	8.89%
Green	\$138	\$140	\$154	\$166	\$180	\$190	\$205	1.45%	10.00%	7.79%	8.43%	5.56%	7.89%
Electric Vehicle (EV)	\$215	\$220	\$220	\$235	\$240	\$250	\$260	2.33%	0.00%	6.82%	2.13%	4.17%	4.00%

Future Permit Pricing Projections Student Commuter and Resident lots													
						New Pricing						% Increase	
Student Lots	2016	2017	2018	2019	2020	2021	2022	2017	2018	2019	2020	2021	2022
Blue	\$122	\$135	\$150	\$165	\$180	\$190	\$205	10.66%	11.11%	10.00%	9.09%	5.56%	7.89%
Yellow	\$44	\$55	\$66	\$78	\$89	\$99	\$110	25.00%	20.00%	18.18%	14.10%	11.24%	11.11%
AT/BBT/Gateway Commuter	\$230	\$248	\$265	\$283	\$295	\$305	\$318	7.83%	6.85%	6.79%	4.24%	3.39%	4.26%
						New Pricing						% Increase	
Resident Lots -	2016	2017	2018	2019	2020	2021	2022	2017	2018	2019	2020	2021	2022
AT/Gateway Resident	\$205	\$216	\$228	\$240	\$250	\$260	\$273	5.37%	5.56%	5.26%	4.17%	4.00%	5.00%
Gray 1 Central Suites	\$113	\$130	\$148	\$164	\$175	\$185	\$195	15.04%	13.85%	10.81%	6.71%	5.71%	5.41%
Gray 2 Rich/Bullen	\$108	\$130	\$148	\$164	\$175	\$185	\$195	20.37%	13.85%	10.81%	6.71%	5.71%	5.41%
Gray 3 Merrill	\$113	\$130	\$148	\$164	\$175	\$185	\$195	15.04%	13.85%	10.81%	6.71%	5.71%	5.41%
Gray 4 Highway	\$98	\$118	\$135	\$149	\$160	\$170	\$180	20.41%	14.41%	10.37%	7.38%	6.25%	5.88%
Gray 5	\$62	\$71	\$81	\$90	\$95	\$105	\$115	14.52%	14.08%	11.11%	5.56%	10.53%	9.52%
Gray 6 - 10	\$62	\$71	\$81	\$90	\$100	\$110	\$120	14.52%	14.08%	11.11%	11.11%	10.00%	9.09%
Gray 11 Darwin	\$113	\$130	\$148	\$164	\$175	\$185	\$195	15.04%	13.85%	10.81%	6.71%	5.71%	5.41%
Gray 12 Blue Square	\$113	\$130	\$140	\$150	\$160	\$170	\$180	15.04%	7.69%	7.14%	6.67%	6.25%	5.88%
Blue Square Res	\$215	\$220	\$220	\$220	\$220	\$225	\$230	2.33%	0.00%	0.00%	0.00%	2.27%	2.22%
Net Increase	\$76,000	\$110,000	\$117,500	\$162,000	\$205,000	\$72,000	\$76,000	6.82%	37.87%	26.54%	-64.88%	5.56%	5.56%

## Appendix C: Financial Report – 2019-2020 Projected Operations

Parking Permit Sales	1,397,842
Big Blue Terrace Sales	115,653
Fines	86,764
Dedicated Stalls	82,095
Blue Premium Sales	62,373
Meter Revenue	35,165
Other Revenue	17,550
Aggie Terrace Sales	15,554
BBT/Gateway Special Events	13,583
Validation Sales	12,398
Parking Special Events	10,160
Gateway Terrace	1,208
Athletic Event Revenue	0
<b>Total</b>	<b>1,850,345</b>

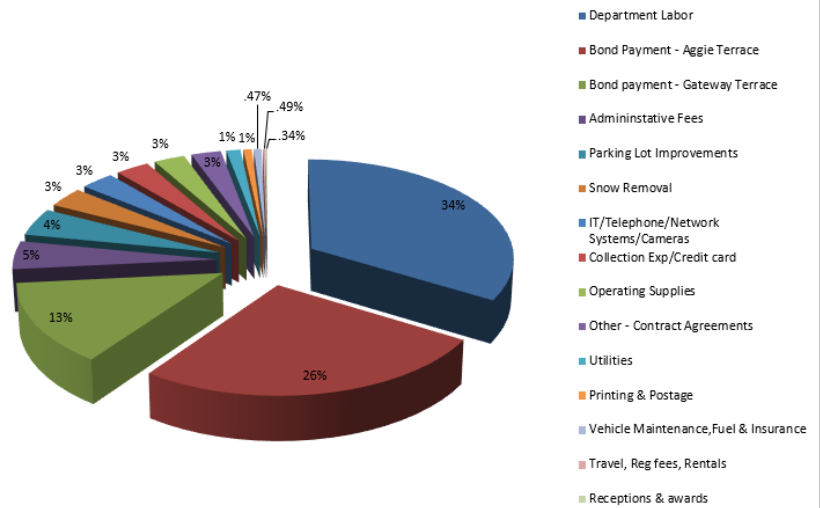
**2020-21 USU Parking Revenue Projected**



Department Labor	700,052
Bond Payment - Aggie Terrace	547,516
Bond payment - Gateway Terrace	280,266
Administrative Fees	96,152
Parking Lot Improvements	93,792
Snow Removal	68,000
IT/Telephone/Network Systems/Cameras	61,870
Collection Exp/Credit card	61,339
Operating Supplies	56,458
Other - Contract Agreements	54,010
Utilities	25,479
Printing & Postage	15,210
Vehicle Maintenance,Fuel & Insurance	13,955
Travel, Reg fees, Rentals	4,310
Receptions & awards	2,675
<b>Total</b>	<b>2,081,084</b>

2022 Bond Payment Gateway  
Parking Terrace \$521,000.00

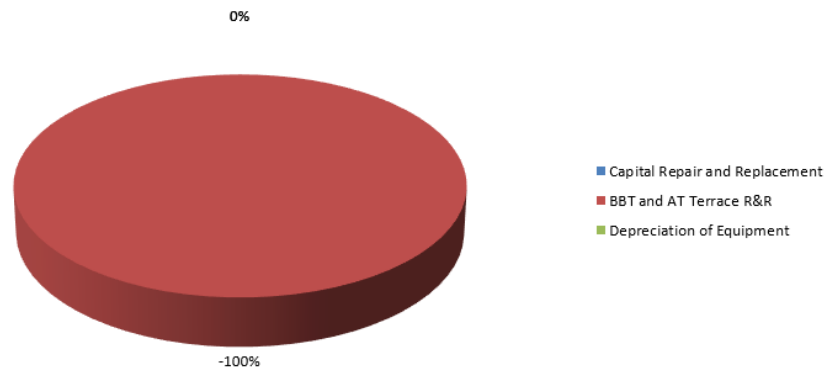
**2020-21 USU Parking Operating Expenses Projections**



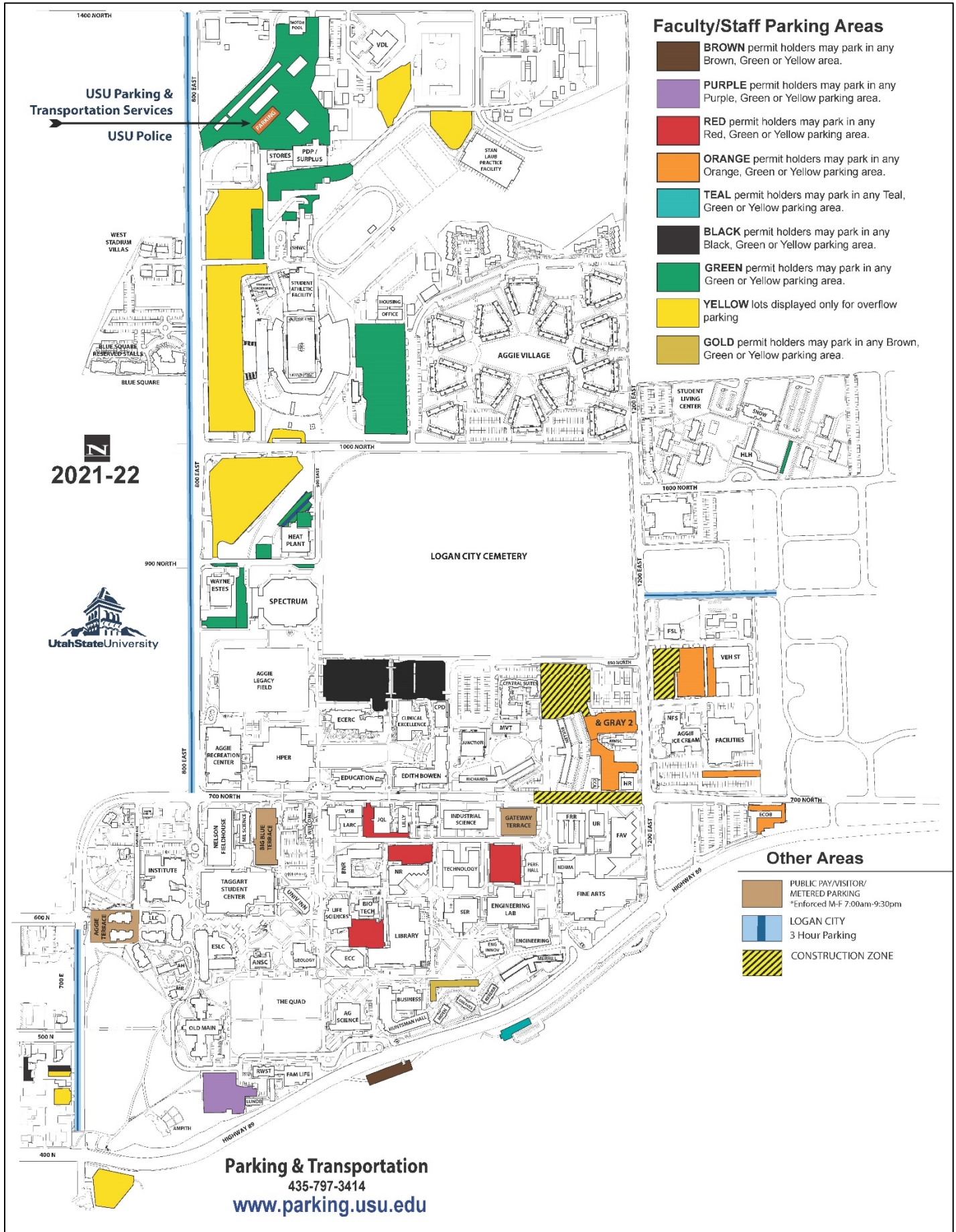
Capital Repair and Replacement	0
BBT and AT Terrace R&R	-230,739
Depreciation of Equipment	0
<b>Total</b>	<b>-230,739</b>

**Total** **-\$230,739**

**2020-21 USU Parking Net**

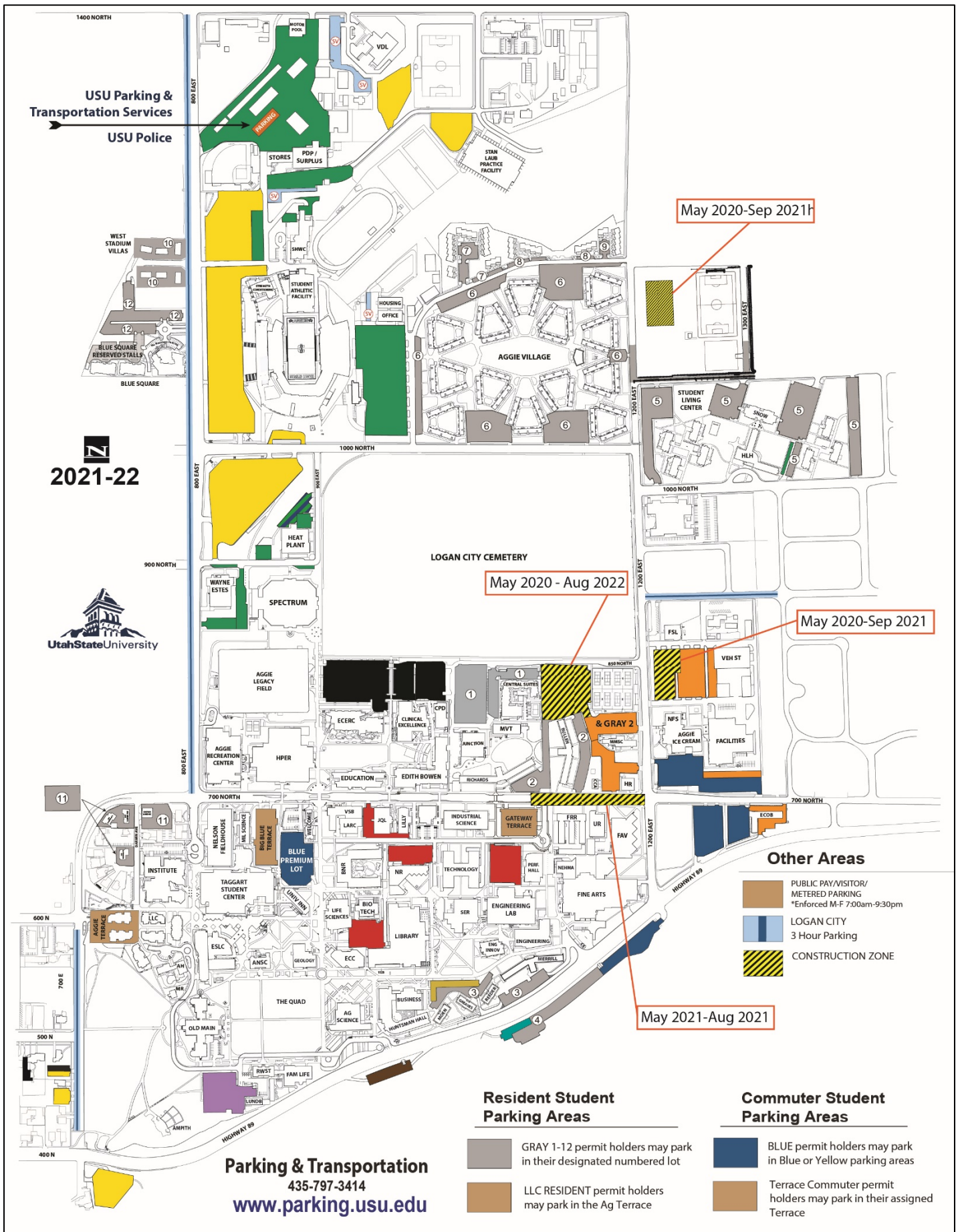


## Appendix D: Faculty/Staff Parking Designation Changes - Summer 2020



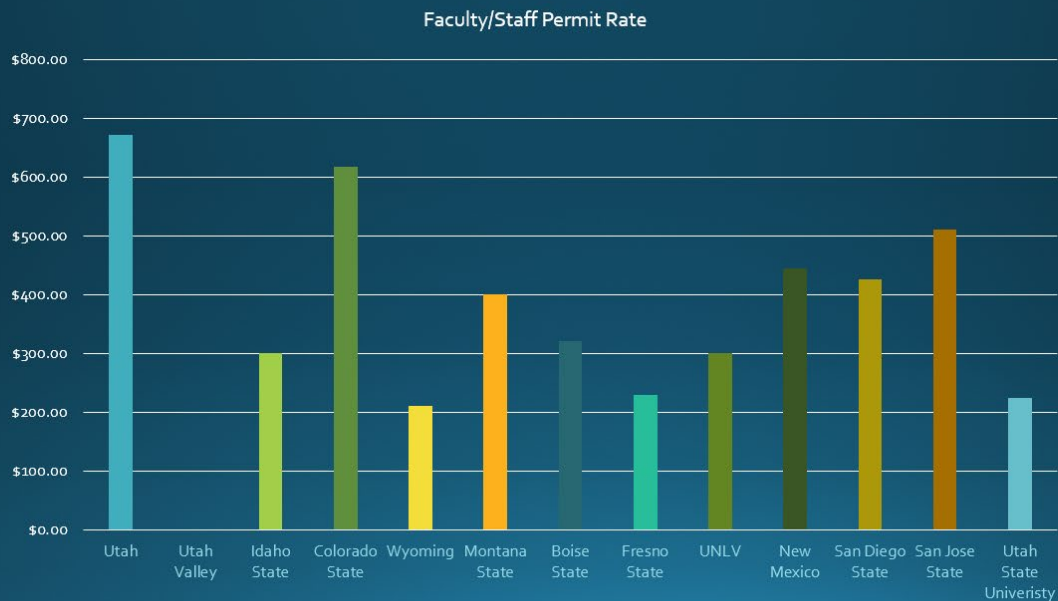


# Appendix E: Summer 2021 Construction Map

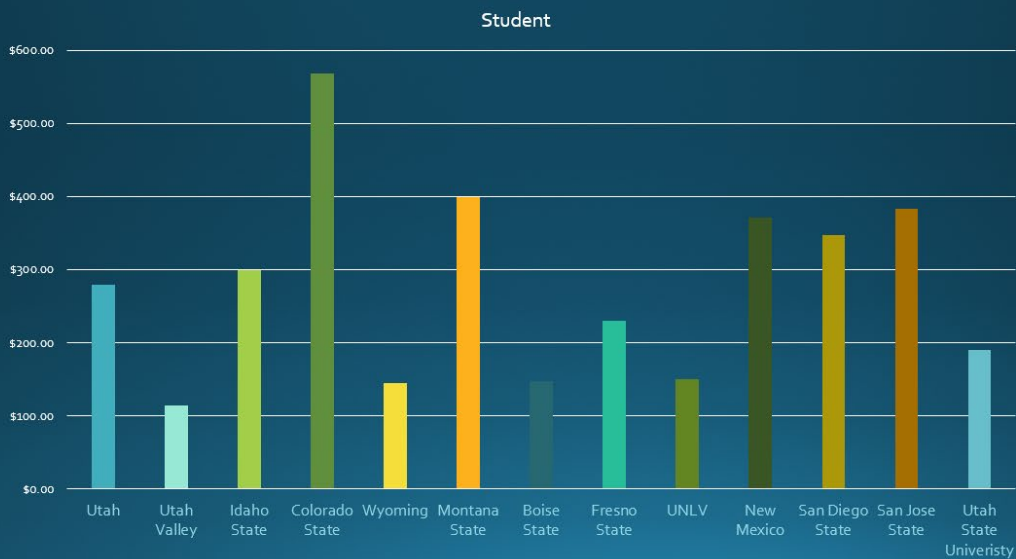


## Appendix F: Peer Institution Parking Permit Comparison

### Peer Institutions Faculty-Staff Parking Rate

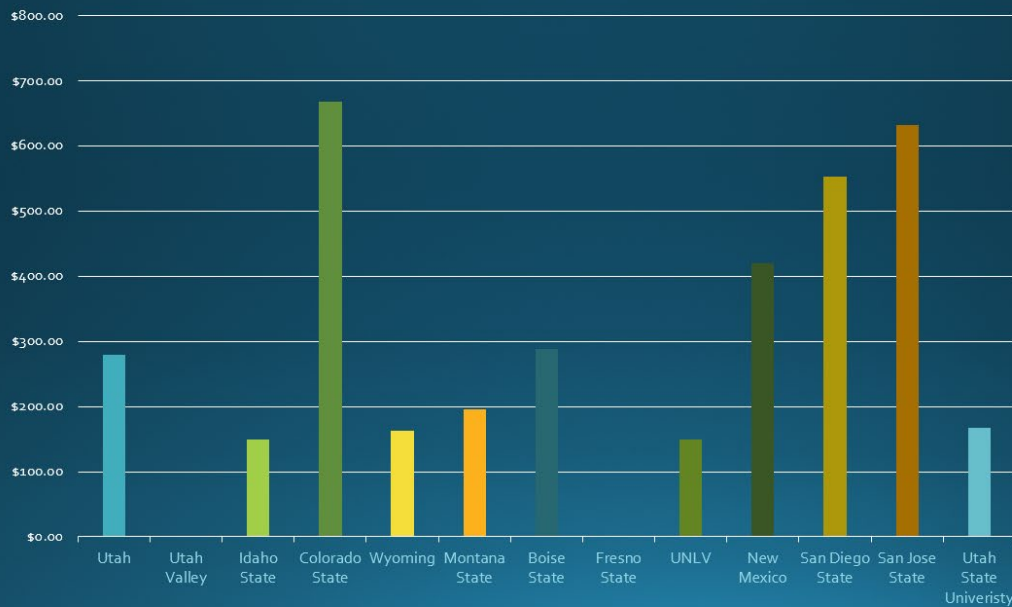


### Peer Institutions Commuter Parking Rate

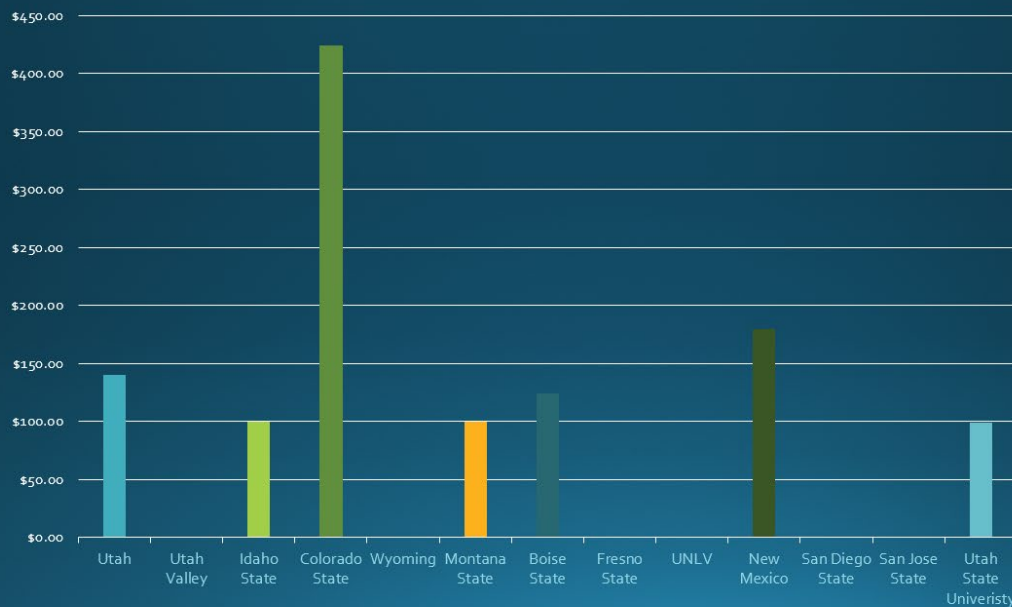




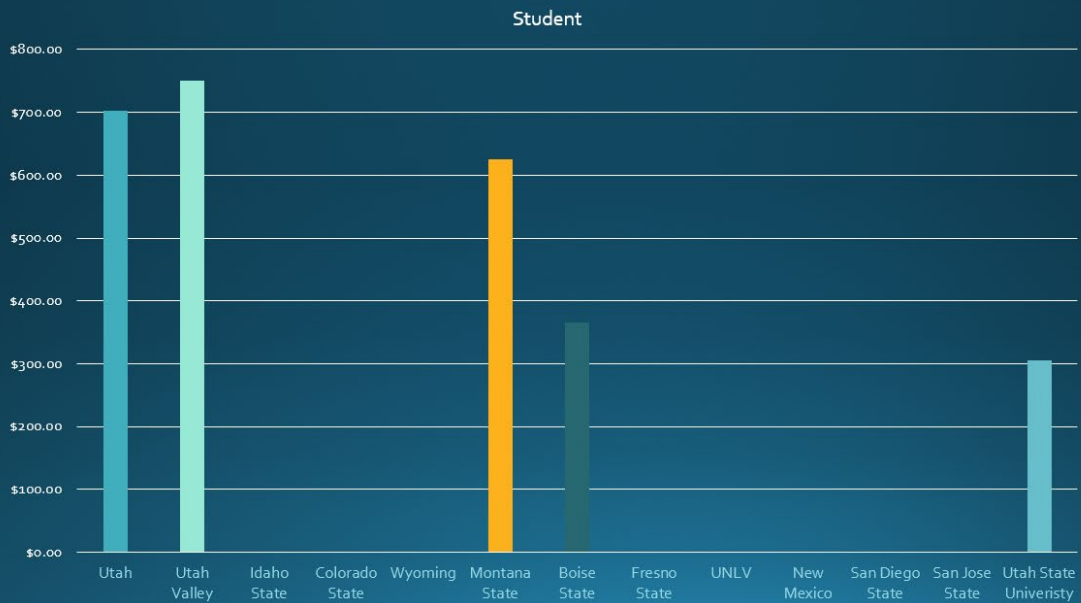
## Peer Institutions Residential Parking Rate



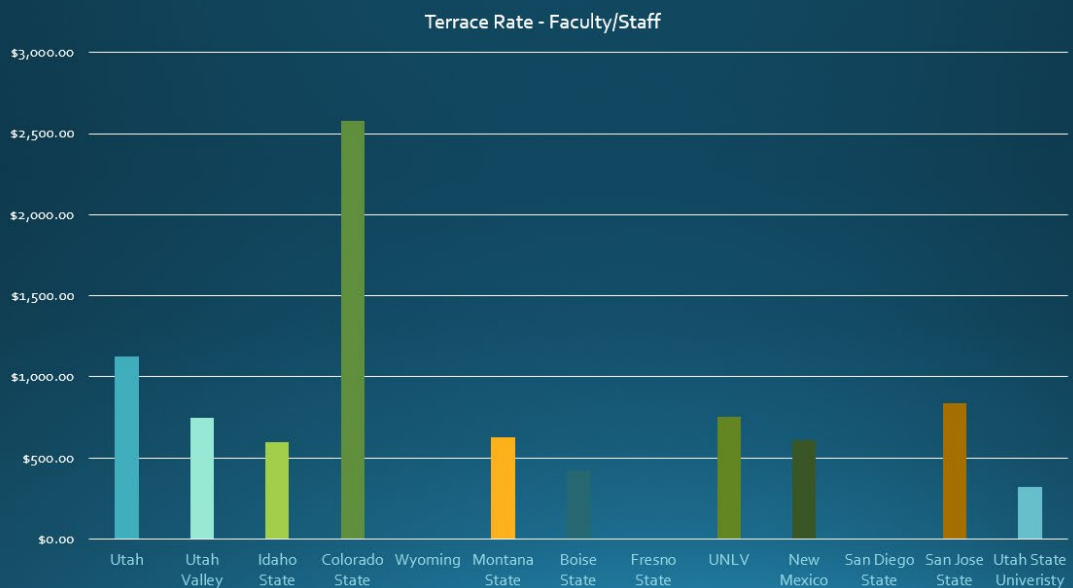
## Peer Institutions Economy Parking Rate



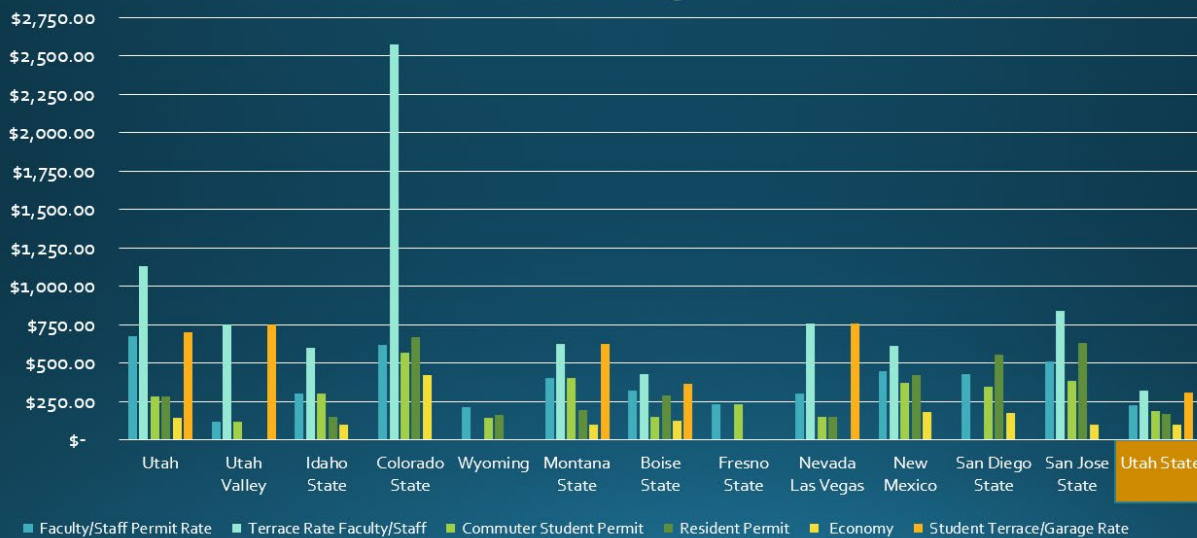
# Peer Institutions Terrace Permit Rate



# Peer Institutions Faculty Terrace Permit Rate



## Peer Institutions Parking Rate Comparison



USU rates are from 2021-22. All other rates from 2020.

### Appendix G: Green House Gas Reduction and Sustainability Efforts 2020-21

- LED lighting installations – Big Blue Terrace and Aggie Terrace – completed 2019
- LED lighting installation – Motor Pool shop, vehicle rental garage and Outside light – complete – 2019
- Installation of Electric Vehicle Charging stations throughout campus – 14 charges utilizing 24 stalls.
- CNG fueling station - Aggie Shuttle System since 2017 Increased transit ridership through Aggie Shuttle & CVTD
- Due to the impact of COVID-19 on budgets, this line item will be delayed until revenues may support the initiative. 11 Hybrid sedans in the USU rental fleet (59 vehicles total). All future sedan purchases will be hybrids.

Investment – Approximately \$400,000





Utah State University

# Sustainability

## Faculty Senate Update 2021

# Summary

On March 9, 2020, President Cockett announced Utah State University would commit up to \$60,000 annually toward a renewable energy portfolio, implement energy-saving technology on campus, initiate a \$10 carbon fee for university-funded air trips, and enhance sustainability education for USU students. These announcements arrived just over a year after the faculty senate and student association passed resolutions asking the university to redouble efforts to address climate change in its physical operations and student education. This report addresses progress on these priorities in addition to other the key recommendations of the *USU Greenhouse Gas Reduction Committee Final Report*.

First, the university and associated statewide campuses produced 83,361 MTCO<sub>2</sub>e for the reporting year of July 2019 to June 2020, which was a reduction of nearly seven thousand metric tons of CO<sub>2</sub> when compared to the previous year. While this approaches the goal of 10% annual emission reductions, it falls short with a reduction of 7.7%. Ventilation modifications in response to COVID-19 are responsible from a portion of the shortfall. Furthermore, many initiatives underway were not fully executed during this reporting year and will be in the coming year and years.

Over the past year, USU Facilities has explored options to source renewable energy through Rocky Mountain Power and Logan Light & Power. A 158-kilowatt installation has been completed on the new Gateway Parking Terrace. Another solar installation is slated for the USU's first net zero-energy building under construction in Moab. Funding has also been secured for phase II of the solar installation at the Fine Arts Visual building. For a more extensive transition to renewables, negotiations are underway to source two to three megawatts of renewable energy through a coalition of buyers entering a power purchase agreement with a solar developer. Any renewable energy will go further as a university-wide shift to LEDs nears completion on Logan campus and continues on statewide campuses.

Additionally, the \$10 air travel fee is in its first year. President Cockett will reimburse departments this year, and departments will have the option to decrease travel or pay a greater portion of the fee in coming years. Funds generated by this fee are anticipated to support priorities in the USU Greenhouse Gas Reduction Committee Final Report.

The new travel system is also assisting with improved data collection. USU Facilities has taken responsibility for the university's annual greenhouse gas inventory and has dedicated resources to improving consistency from past years to the present. Furthermore, a pilot sustainability assessment was launched in fall 2020 to evaluate student-learning outcomes from courses that include sustainability.

The university has made progress on all four of the priorities President Cockett announced in March 2020. It has also made progress on seven of the eleven key recommendations from the Greenhouse Gas Reduction Committee. Continuing the progress of 2020 and exploring how the university can address all of the recommendations from the report are priorities for the coming year.

# Key Recommendations

*from the 2020 Greenhouse Gas Reduction Report with areas advanced in 2020 highlighted*

1. Employ best practices to ensure that we have a robust and consistent process for estimating USU's total greenhouse gas emissions. Total greenhouse gas emissions from Logan and Statewide campuses should serve as the key performance indicator to evaluate USU's progress on this initiative.
2. Work with Rocky Mountain Power to purchase a renewable energy portfolio. Continue to engage Logan Light and Power and Price Public Utilities to develop similar opportunities to purchase renewable and carbon-free energy portfolios.
3. Accelerate conversion of lighting on Logan campus to energy- and cost-saving LED lights, to be completed within the next two years.
4. Increase investment in best available energy management technology and energy-saving HVAC commissioning projects for the next ten years.
5. Continue to investigate opportunities to increase solar and wind energy on or near campus, beyond those provided in the renewable energy portfolios that we seek to purchase from public utilities.
6. Improve fuel efficiency of fleet vehicles and conduct a pilot study of integrating electric vehicles into our fleet.
7. Implement a non-binding 'shadow' price on carbon emissions for all major University expenditures.
8. Establish a mandatory carbon offset fee of \$10 per round-trip for all University-sponsored air travel paid by the department, college or index funding the trip. Use funds raised by that fee to pay for projects with the highest return on investment for reducing USU's greenhouse gas emissions and/or improving air quality on and near USU campuses.
9. Develop a fundraising campaign focused on advancing USU's efforts towards sustainability and carbon neutrality.
10. Expand and institutionalize USU's Planetary Thinking in the Curriculum Workshops with a focus on general education courses to ensure that all students graduate with an understanding of the causes, implications, and solutions to climate change.
11. Expand adoption of climate and sustainability-related learning outcomes and assess students' attitudes and understanding of relevant content.



# Highlights





## Greenhouse Gas Inventory

In 2020, USU Facilities took over the greenhouse gas inventory, completing the FY 19 inventory in August 2020 and the FY 20 inventory in January 2021.



## Renewable Energy

USU's most recent renewable energy installation is a 158 kW solar array on the new parking terrace with others slated for Logan and Moab. USU is also exploring a power purchase agreement.



## Efficiency Improvements

USU energy teams have replaced 69% of lights on the Logan campus with LEDs. Installations continue in Logan and statewide. Lab ventilation and real-time monitoring projects are underway.



## Air Travel Carbon Fee

The USU Controller's Travel Office has implemented the \$10 per round trip carbon fee. In the first year, the President's Office will reimburse A#s at the end of the fiscal year.



## Sustainability Assessment

The COVID-19 pandemic and funding paused Planetary Thinking Workshops. However, it provided an opportunity to evaluate the outcomes of sustainability courses for students.



# Greenhouse Inventory 20

key { 1. Employ best practices to ensure that we have a robust and consistent process for estimating  
rec. } gas emissions from Logan and Statewide campuses should serve as the key performance in

1991

Talloires Declaration Signatory

- Goal: Practice Institutional Ecology

2007

American College & University Presidents

Carbon Commitment Signatory

- Goal: Carbon neutrality by 2050
- Greenhouse gas inventories begin

2019

USU Faculty Senate Resolution

- Goal: Reduce emissions by 10% per year for the next 20 years

USU Student Association Resolution

- Goal: Shorten carbon neutrality timeline from 2050 to 2032

President Cockett forms a committee to address requests in the resolutions

2020

President Cockett adopted recommendations from the *USU Greenhouse Gas Reduction Committee Final Report*

# Gas 2020

g USU's total greenhouse gas emissions. Total greenhouse  
indicator to evaluate USU's progress on this initiative.



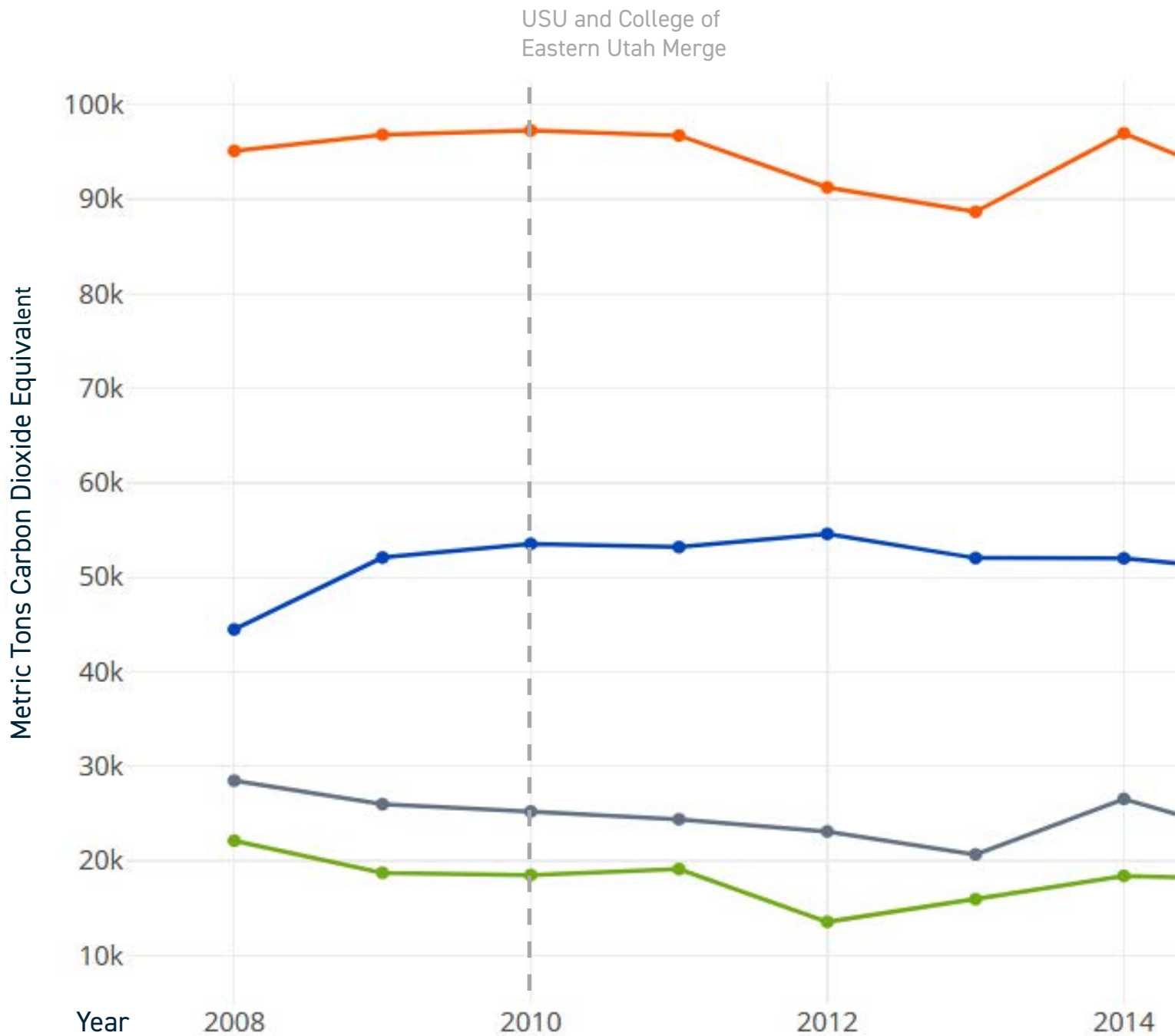
## COVID Changes

- March 18, 2020 to June 30 (3.5 mo. until the end of fiscal year) USU moved classes online
- March 19, 2020  
Remote work for employees if possible
- May 4, 2020  
First summer 7-week session and 14-week classes online

## Data Changes

- Reduced occupancy
- Increased ventilation
- Upgraded lighting
- Decreased commuting (est.)
- Added study abroad
- Aligned of space (sq. ft.) and campus users between years
- Improved consistency of boundaries on Logan and statewide campuses

# GREENHOUSE GAS INVENTORY FY 2020



## SCOPE 1

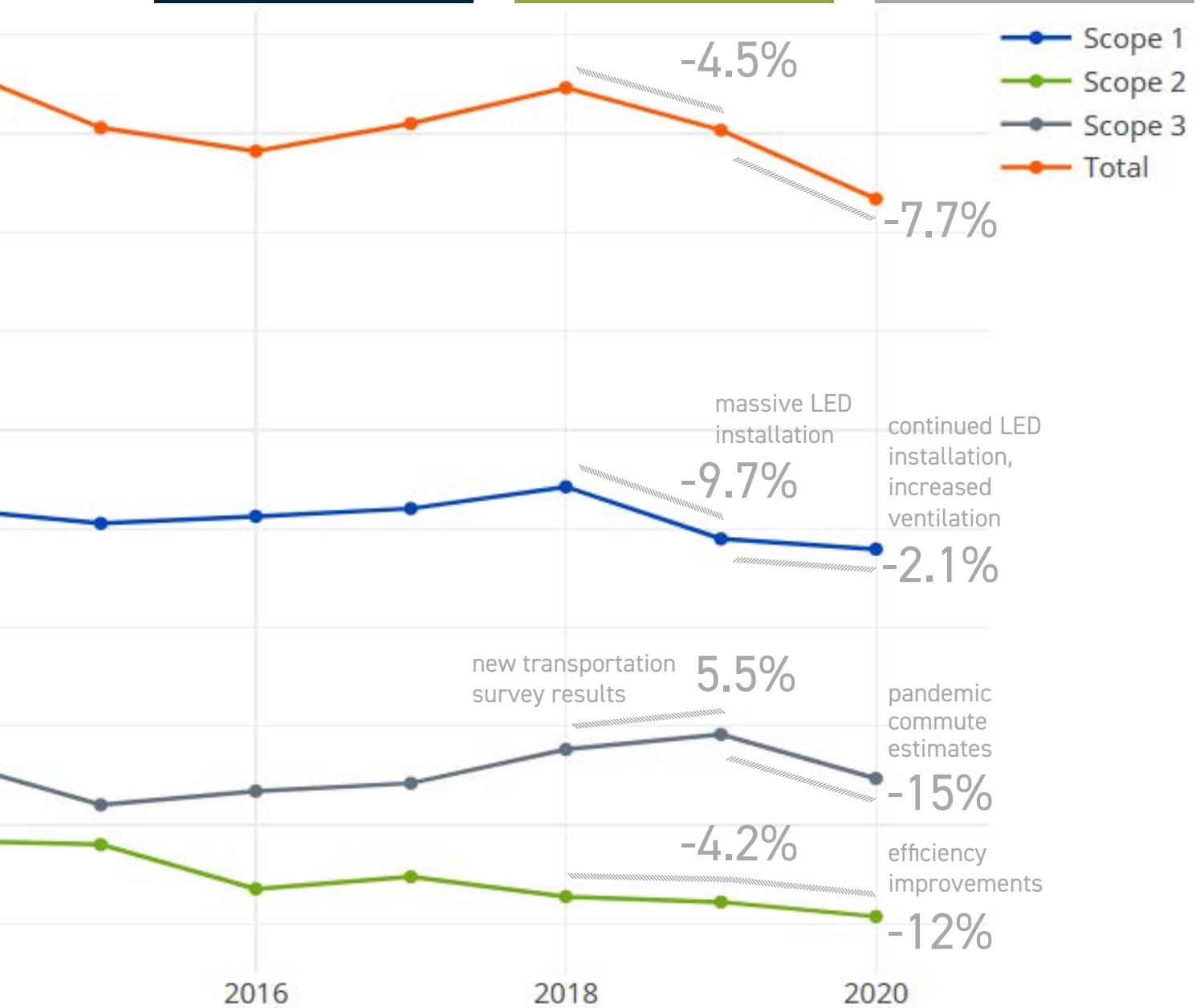
- Electricity
- Steam
- Fuels
- Aggie Shuttle
- USU vehicles
- Aviation
- Animals
- Fertilizer
- Refrigerants & chemicals

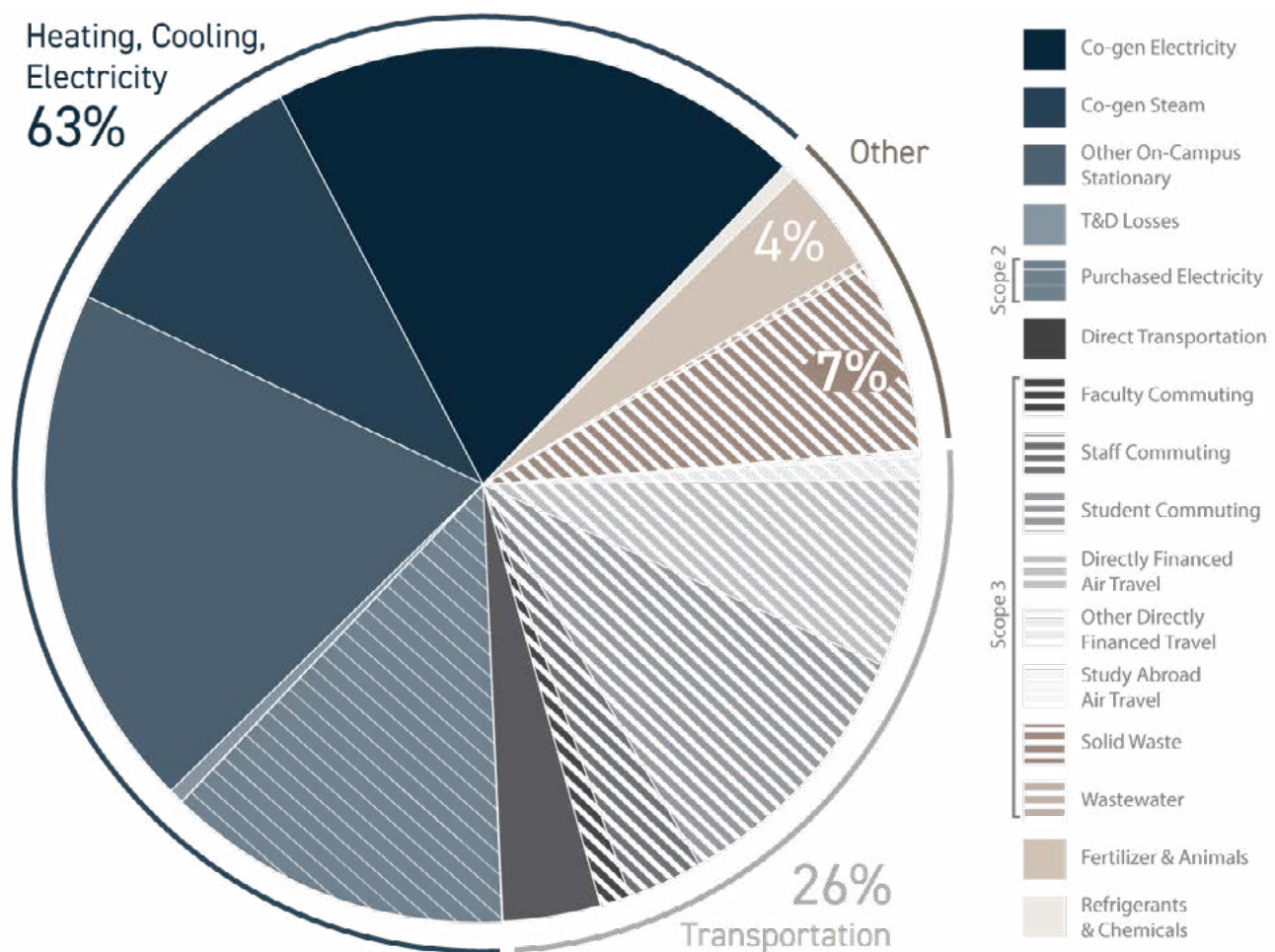
## SCOPE 2

- Purchased electricity

## SCOPE 3

- Commuting
- Business & Research Travel
- Purchased goods
- Paper
- Not food yet
- Waste
- Wastewater





USU  
produced  
83,361  
MTCO<sub>2</sub>e  
in 2020

## Boundaries include...

- Students and space from the Logan Campus, statewide campuses, support facilities, and farms.
- Electricity and natural gas for Logan Campus, statewide campuses, support facilities, and farms.
- Commutes are based on survey data from the Logan campus. Statewide campuses are estimated from Logan data, excluding bus options. Statewide campuses will be included in future transportation surveys.
- USU-funded air travel and fuel are from the USU travel office and State of Utah.
- Study abroad provided student destinations.
- Waste, recycling, and composting data are from the Logan campus only. Other campuses do not weigh waste or track this information.

# RENEWABLE ENERGY

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- 2. Work with Rocky Mountain Power to purchase a renewable energy portfolio.  
Continue to engage Logan Light and Power and Price Public Utilities to develop similar opportunities to purchase renewable and carbon-free energy portfolios.

Utah State University's campuses, with the exception of Logan and Price, receive electricity from Rocky Mountain Power. USU currently purchases electricity from Rocky Mountain Power under schedule 6, which does not explicitly include renewable resources. Rocky Mountain also offers rate schedules 32 and 34 for qualifying customers that would like to include renewable energy in their portfolio. The university has been exploring these options since 2019.

Schedule 34 initially appeared as the most affordable option to add the greatest amount of renewable energy to the university's portfolio. However, the avoided cost set by Rocky Mountain Power to determine USU's rate per kilowatt-hour was too high to be economically feasible for the university.

Schedule 32 remains an opportunity for USU to purchase renewable energy. Although Rocky Mountain Power proposed increases to the rate, the Public Service Commission of Utah on the PacifiCorp ruled against the majority of Rocky Mountain Power's proposals for schedule 32. Former Associate Vice President Charles Darnell was among those who testified to the Commission that Rocky Mountain Power's requests would threaten the accessibility of the renewable energy under schedule 32. USU continues to organize a coalition to purchase a contract at the 40 MW threshold to reach the most favorable rate for a power purchase agreement.

Discussions are ongoing with Logan Light & Power to provide a rate structure similar to Rocky Mountain Powers rate schedule 32 to allow for the purchase and transmission of renewable power for the University. Energy Strategies is under contract to provide consulting services and facilitate a rate structure design that evaluates the cost impacts to Logan Light and Power. Additionally, the study would evaluate how to pass the cost to USU fairly and equitably without increasing costs for other Logan Light & Power customers.

Price Public Utilities approached the University about providing an opportunity for USU Eastern to procure the renewable energy credits for resources the utility has currently under contract. To date, the details of this arrangement have not been finalized.



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5. Continue to investigate opportunities to increase solar and wind energy on or near campus, beyond those provided in the renewable energy portfolios that we seek to purchase from public utilities.

5

In fiscal year 2020, USU secured two more on-site solar installations. President Cockett designated funds for a 158 kW installation on the new Gateway Parking Terrace on the Logan Campus. Energy Manager, Zac Cook, secured a Blue Sky grant from Rocky Mountain Power for the Moab campus. The solar installation will be a part of the construction of USU's first zero-energy building. Funding has also been secured for phase II of the solar installation at the Fine Arts Visual building adding an additional 25 to 30 kW to the existing 26 kW.

USU Facilities is continuing to explore opportunities to install solar panels on land owned by the university in other locations. Simultaneously, it is investigating funding mechanisms and rate implications with Logan Light and Power for on-site solar.



# EFFICIENCY IMPROVEMENTS

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3. Accelerate conversion of lighting on Logan campus to energy- and cost-saving LED lights, to be completed within the next two years.
4. Increase investment in best available energy management technology and energy-saving HVAC commissioning projects for the next ten years.

3 Lighting accounted for approximately 11% of an average building's energy use at USU prior to LED retrofits. USU Facilities has been incrementally installing LEDs in campus buildings, including new construction and retrofits in the Spectrum, Merrill-Cazier Library, and Fine Arts Center in an effort to reduce energy use and save money.

After the adoption of recommendations from the *USU Greenhouse Gas Reduction Committee Final Report* and the shift to online learning in March of 2020, installations of LEDs accelerated. Over the summer, teams changed 600-800 lamps per day, toward the goal of replacing 142,000 lamps on the Logan campus. With approximately 98,000 LED lamps installed, the goal is to complete the replacement of the remaining lamps by August 2021. Upon completion, USU anticipates reducing energy used by lighting by two-thirds. The project will save six to nine million kilowatt-hours and an estimated \$200,000 to \$350,000 per year.

Although the initial recommendation identified the Logan campus for the lighting upgrades, a substantial amount of the lighting at the statewide campuses has been converted to LEDs. Lighting projects are currently underway on the Price campus. A project is in development, and funding is being secured for a lighting efficiency project at the Blanding Campus.

4 An air quality monitoring system, with substantial funding from the Edwards Mother Earth Foundation, is nearing completion in the College of Agriculture, Biology and Natural Resource remodel, and Life Sciences buildings. This system allows USU to use the latest technology to balance safety and energy efficiency for laboratory ventilation systems.

Analytic software is being deployed across campus to monitor the performance and operation of building HVAC systems in real-time. This system will provide data for continuing maintenance and will aid in identifying system inefficiencies so they can be addressed immediately.

The steam maintenance program on the Logan campus is expanding to USU Eastern campus in Price. The program is anticipated to result in substantial natural gas savings.

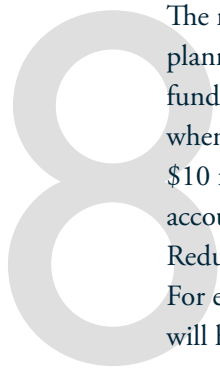


# AIR TRAVEL CARBON FEE

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8. Establish a mandatory carbon offset fee of \$10 per round-trip for all University-sponsored air travel paid by the department, college or index funding the trip. Use funds raised by that fee to pay for projects with the highest return on investment for reducing USU's greenhouse gas emissions and/or improving air quality on and near USU campuses.



The mandatory carbon offset fee on university-funded air travel began in FY 2021. As planned, departments are paying \$10 per round trip of air travel. The same A# that funded the travel usually funds the fee, but another account can cover the fee in cases when grant funding disallows payment. In the first year, the president will reimburse the \$10 fee to the original A# at the end of the fiscal year. The funding will be placed in an account for carbon reduction projects, likely the projects identified in the Greenhouse Gas Reduction Report. In subsequent years, the reimbursement will decline by 10% each year. For example, the president will reimburse up to 90% in the second year. Departments will have the option to reduce travel by 10% or pay the corresponding travel fee.

The pandemic has created uncertainty in the funding available for carbon reduction projects from the travel fee. First, the baseline for the president's phase-in plan still needs to be confirmed due to the unusual travel patterns in 2020 and 2021 caused by the COVID-19 pandemic. Additionally, the funding that the fee will raise for carbon reduction in the first years is unpredictable.

University-funded air travel declined in 2020. The travel office reported approximately 5,000 university-funded air trips in FY 2019 and 4,000 trips in FY 2020, which the pandemic influenced from March to June. All of FY 2021 will reflect pandemic travel reductions. Thus, the fees collected for carbon reduction in the first years will be lower than the initial estimate.

It is also worth noting, that the mandatory travel fee account is separate from the voluntary carbon offset account established in 2012. Individuals may still choose to donate money to the university's carbon offset fund. The USU Sustainability Council manages the voluntary fund, and as the process for the mandatory account is solidified, the Council is considering directing the voluntary account to the same projects.

# SUSTAINABILITY ASSESSMENT

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recs.

10. Expand and institutionalize USU's Planetary Thinking in the Curriculum Workshops with a focus on general education courses to ensure that all students graduate with an understanding of the causes, implications, and solutions to climate change.
11. Expand adoption of climate and sustainability-related learning outcomes and assess students' attitudes and understanding of relevant content.

The *Destinations: Planetary Thinking in the Curriculum* one-day workshop was modeled on the Piedmont and Ponderosa projects at Emory and Northern Arizona University to provide faculty with resources and connections to include sustainability in their courses. Since 2016, 64 faculty have participated in the program to incorporate sustainability into 66 classes or programs, reaching approximately 6,500 students who participate in them each year. The program has depended a volunteer faculty committee to organize the training. College and departmental funding have compensated participating faculty for the time spent revising syllabi and designing assignments and experiences for students. The 2020 and 2021 workshops have been canceled due to the COVID-19 pandemic and ongoing budgetary challenges. However, the planning committee has used the time to design a pilot sustainability assessment to evaluate the student outcomes from classes that include sustainability.

Given that the Planetary Thinking workshop focuses on faculty education, a question arose during the process of creating the *USU Greenhouse Gas Reduction Committee Final Report* whether faculty training produced outcomes for students. Faculty who had participated in the workshop completed assessments of the workshop each year, but students in classes that included sustainability had never been assessed for sustainability outcomes.

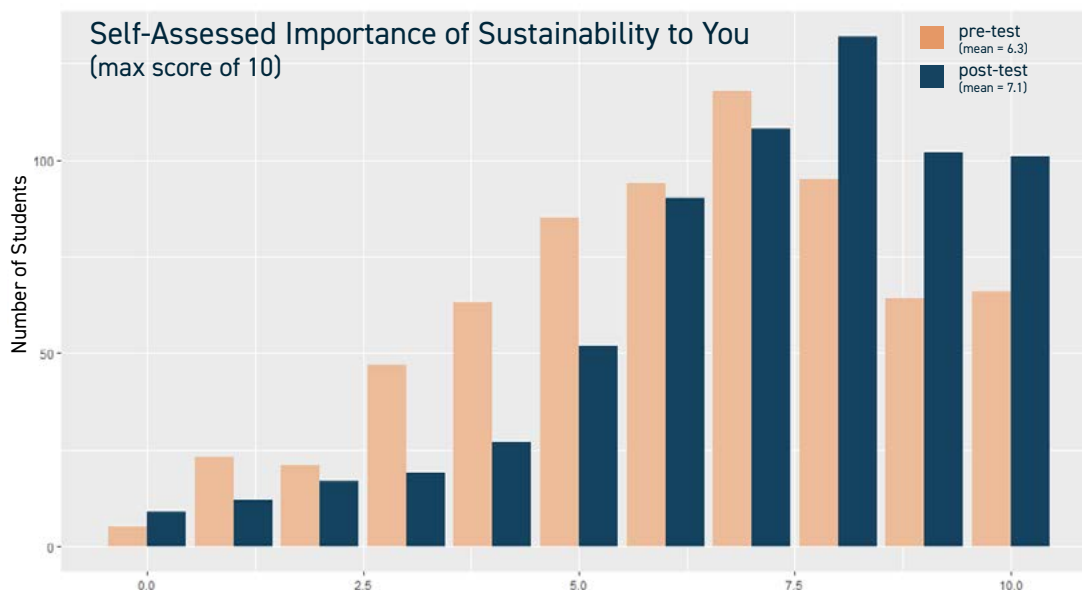
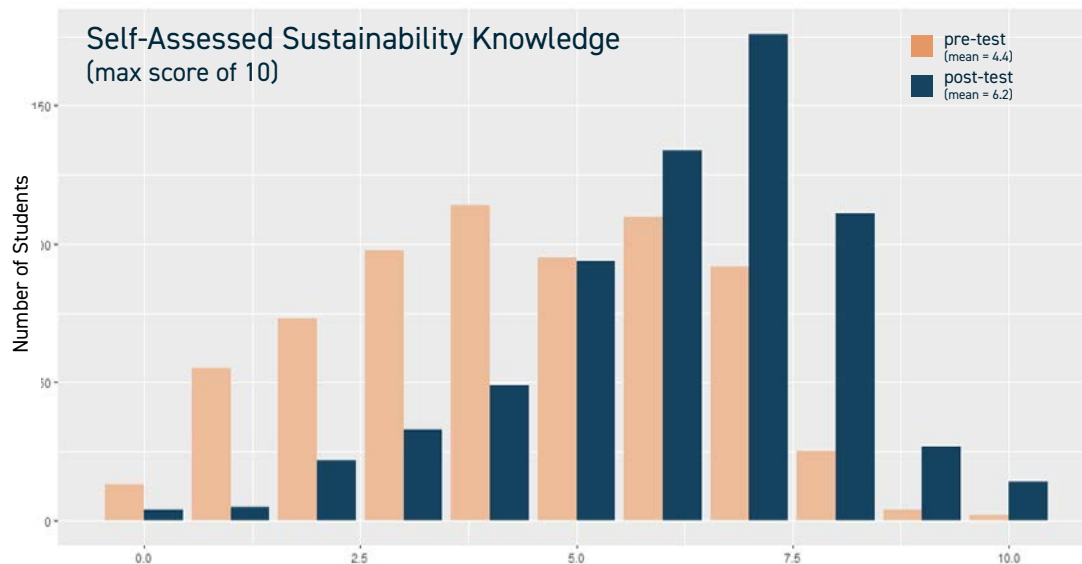
However, USU has a question on the graduating student survey that asks students about sustainability, and USU reports the number of degree programs with sustainability learning outcomes to the Sustainability Tracking, Assessment & Rating System. For the first time, in the fall of 2020, USU students in six classes that include sustainability concepts completed a pilot assessment as well. A total of 681 students with majors in every college participated in the pre-assessment in September, and 669 participated in the post-assessment in late November or early December 2020. The assessment included:

1. An 11-question Assessment of Sustainability Knowledge (ASK)
2. An 8-question assessment of students' relationship to nature (relational values)
3. Students' self-assessment of their own sustainability knowledge and importance of sustainability

# Sustainability Assessment Pilot

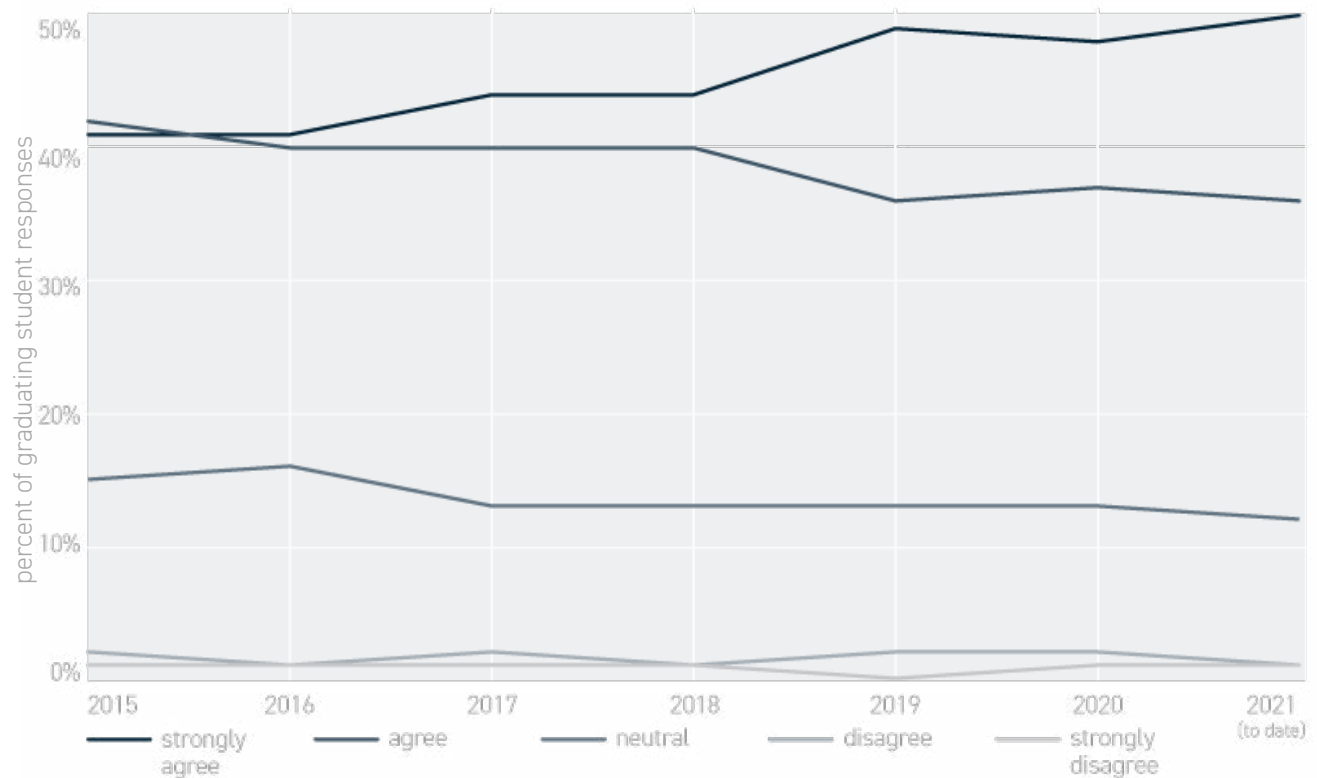
## Major Takeaways

- 1 Self-assessed sustainability knowledge and self-evaluation of sustainability importance significantly increased between pre- and post-assessments
- 2 The objective Assessment of Sustainability Knowledge indicated a significant change in distribution of scores but a minimal increase in mean.
- 3 Relational values did not significantly change between pre- and post-assessments.



## USU Graduating Student Survey:

I have an understanding of social, environmental, and economic sustainability.



From USU's 2019 Sustainability Tracking, Assessment & Rating System (STARS) report

5% of USU's course offerings include sustainability

10% of USU students graduated from a degree program with a sustainability outcome

73% of departments at USU have at least one sustainability course

# OTHER RECOMMENDATIONS

## 6. Improve fuel efficiency of fleet vehicles and conduct a pilot study of integrating electric vehicles into our fleet.

The COVID-19 pandemic has resulted in drastically reduced travel since March 2020. While Parking and Transportation would purchase 12-14 vehicles in a normal year to replace rentals, the department has only purchased three minivans since April. The decline in demand for transportation services has caused deficits in the budgets for these university programs. Parking and Transportation is considering adding an electric vehicle, but the abnormally low levels of travel and uncertain ramifications for long-term trends make 2021 a poor time to conduct a pilot study of electric vehicles in the fleet. Nevertheless, the reduction in travel has also led to a decline in fuel use and associated greenhouse gases.

## 7. Implement a non-binding 'shadow' price on carbon emissions for all major University expenditures.

This recommendation has been adopted but not implemented by the university. However, a plan for this recommendation is a priority for 2021.

## 9. Develop a fundraising campaign focused on advancing USU's efforts towards sustainability and carbon neutrality.

The university has received several grants for sustainability projects over the past few years, including solar projects, a lab ventilation pilot, storm water management demonstration, and a wood chipper for the compost system. Other funds have been raised through USU's Aggie Funded program. A fundraising effort in the Center for Community Engagement to support the Student Nutrition Access Center raised over \$15,000 in 2020 to increase food security while reducing food waste. Additionally, individuals can contribute to USU's carbon offset fund, which typically raises about \$3,000 per year.

Sustainability programs have consulted with the Advancement and Alumni Relations Office on other projects as well, collaborating on a Giving Tuesday campaign and on efforts to find additional funding for the Planetary Thinking workshop (2018-2019). These efforts occurred as the office was in transition with a new vice president. Development directors for specific colleges primarily conducted fundraising, and sustainability did not neatly fit into this organization. A list of potential foundations and grant opportunities did not yield partners at the time. With COVID-19 occupying resources and attention in 2020, these efforts have not been revived. A wider fundraising campaign is a priority for the future.



**UtahStateUniversity.**  
SUSTAINABILITY COUNCIL  
FACILITIES